

**Appl. No.** : 10/063,530  
**Filed** : May 2, 2002

### **REMARKS**

The foregoing amendments to the claims are of formal nature, and do not add new matter. Claims 1-6 were pending in this application and were rejected on various grounds. Claim 1 has been amended, and Claim 6 has been cancelled without prejudice or disclaimer for pursuit of their subject matter in latter continuation or divisional filings. The rejections to the presently pending claims are respectfully traversed.

The changes made to the Specification and Claims by the current amendment, including ~~deletions~~ and additions, are shown herein with deletions designated with a strikethrough and additions underlined.

#### **Priority**

As explained in detail below, Applicants rely on the gene expression data for patentable utility. This data was first disclosed in PCT/US00/23328, filed August 24, 2000, on page 93, line 3. Priority to this application has been properly claimed in the present application. Hence, the present application is entitled to at least the priority date of **August 24, 2000**.

#### **Specification**

The title of the invention has been amended to better describe the claimed invention. In addition, embedded hyperlinks have been removed.

The PTO has stated that the application contains sequence disclosures that are encompassed by the definitions for nucleotide and/or amino acid sequences set forth in 37 C.F.R. § 1.821(a)(1) and (a)(2). The PTO states that the application fails to comply with the requirements of 37 C.F.R. § 1.821 through 1.825 because the application does not contain, as a separate part of the disclosure on a paper copy, a "Sequence Listing" as required by 37 C.F.R. § 1.821(c).

Applicants submit herewith a response to the Notice to Comply which amends the specification to include a paper copy of the "Sequence Listing," which is also submitted herewith.

#### **Correction of Inventorship under 37 CFR §1.48(b)**

Applicant requests that several inventors be deleted, as these inventors' inventions are no longer being claimed in the present application as a result of prosecution. The fee as set forth in § 1.17(i) is submitted herewith.

Appl. No. : 10/063,530  
Filed : May 2, 2002

### **IDS**

Applicants submit herewith an IDS separately listing references recited in the BLAST report in order to be compliant with 37 C.F.R. § 1.98(a)(1). Consideration of this Information Disclosure Statement is respectfully requested.

### **Rejection under 35 U.S.C. § 101 and § 112, 1<sup>st</sup> Paragraph**

The Examiner rejected Claims 1-6 as lacking specific utility under 35 U.S.C. § 101 allegedly because the claimed invention is not supported by either a specific and substantial asserted utility or a well established utility under 35 U.S.C. § 101. Claims 1-6 are also rejected under 35 U.S.C. § 112, first paragraph for lack of utility. According to the Examiner, since the claimed invention is not supported by either a specific and substantial asserted utility or a well established utility, one skilled in the art would not know how to use the claimed invention. Applicants respectfully disagree with and traverse these rejections.

The Examiner asserts that since the protein recited in the claims, PRO1180 (SEQ ID NO:28), is not supported by a specific and substantial asserted utility or well-established utility, the antibodies to this polypeptide also lack utility.

### **Utility – Legal Standard**

According to the Utility Examination Guidelines (“Utility Guidelines”), 66 Fed. Reg. 1092 (2001) an invention complies with the utility requirement of 35 U.S.C. § 101, if it has at least one asserted “specific, substantial, and credible utility” or a “well-established utility.” A utility is “specific” when it is particular to the subject matter claimed. For example, it is generally not enough to state that a nucleic acid is useful as a diagnostic without also identifying the condition that is to be diagnosed.

The requirement of “substantial utility” defines a “real world” use, and derives from the Supreme Court’s holding in *Brenner v. Manson*, 383 U.S. 519, 534 (1966) stating that “The basic *quid pro quo* contemplated by the Constitution and the Congress for granting a patent monopoly is the benefit derived by the public from an invention with substantial utility.” In explaining the “substantial utility” standard, M.P.E.P. § 2107.01 cautions, however, that Office personnel must be careful not to interpret the phrase “immediate benefit to the public” or similar formulations used in certain court decisions to mean that products or services based on the claimed invention must be “currently available” to the public in order to satisfy the utility requirement. “Rather, *any reasonable use that an applicant has identified for the invention that can be viewed as providing*

**Appl. No.** : 10/063,530  
**Filed** : May 2, 2002

*a public benefit should be accepted as sufficient*, at least with regard to defining a ‘substantial’ utility.” (M.P.E.P. § 2107.01, emphasis added.)

Indeed, the Guidelines for Examination of Applications for Compliance With the Utility Requirement, set forth in M.P.E.P. § 2107 II(B)(1) gives the following instruction to patent examiners: “If the applicant has asserted that the claimed invention is useful for any particular practical purpose ... and the assertion would be considered credible by a person of ordinary skill in the art, do not impose a rejection based on lack of utility.”

Finally, the Utility Guideline restate the Patent Office’s long-established position that any asserted utility has to be “credible.” “Credibility is assessed from the perspective of one of ordinary skill in the art in view of the disclosure and any other evidence of record ... that is probative of the Applicant’s assertions.” (M.P.E.P. 2107 II(B)(1)(ii)). Such standard is presumptively satisfied unless the logic underlying the assertion is seriously flawed, or if the facts upon which the assertion is based are inconsistent with the logic underlying the assertion (Revised Interim Utility Guidelines Training Materials, 1999).

The evidentiary standard to be used throughout *ex parte* examination in setting forth a rejection is a preponderance of the totality of the evidence under consideration. *In re Oetiker*, 977 F.2d 1443, 1445, 24 USPQ2d 1443, 1444 (Fed. Cir. 1992). Thus, to overcome the presumption of truth based on an assertion of utility by the Applicant, the Examiner must establish that it is more likely than not that one of ordinary skill in the art would doubt the truth of the statement of utility. Absolute predictability is not a requirement. Only after the Examiner has made a proper *prima facie* showing of lack of utility does the burden of rebuttal shift to the applicant. The issue will then be decided on the totality of evidence.

#### Substantial Utility

Applicants first address the PTO’s argument the evidence of over-expression of the gene encoding the PRO1180 polypeptide in rectal tumor is insufficient because it does not teach what the normal level of expression is, it does not indicate how high the expression level is compared to the disease tissue, it lacks statistical correlation, there is no data to compare expression in the normal and disease samples, and that because the normal and tumor samples are not from the same person, there is no possibility of direct comparison between the normal and melanoma samples. Applicants submit that the gene expression data provided in Example 18 of the present

Appl. No. : 10/063,530  
Filed : May 2, 2002

application are sufficient to establish a specific and substantial utility for the claimed antibodies to the PRO1180 polypeptides.

The gene expression data in the specification, Example 18, shows that the mRNA associated with protein PRO1180 was more highly expressed in rectal tumor and normal kidney versus normal rectum and kidney tumor. Gene expression was identified using standard semi-quantitative PCR amplification reactions with cDNA libraries isolated from different human tumor and normal human tissue samples and analyzed by agarose gel electrophoresis so as to obtain a semi-quantitative determination of the level of expression of the PRO polypeptide-encoding nucleic acid in each reaction. Identification of the differential expression of the PRO polypeptide-encoding nucleic acid in one or more tumor tissues as compared to one or more normal tissues of the same tissue type rendered the molecule useful diagnostically for the determination of the presence or absence of tumor in a subject suspected of possessing a tumor as well as therapeutically as a target for the treatment of a tumor in a subject possessing such a tumor. Applicants submit herewith as Exhibit A the Declaration of J. Christopher Grimaldi, an expert in the field of cancer biology. This declaration was originally submitted in connection with co-pending application Serial No. 10/063,557. This declaration explains the importance of the data in Example 18, and how differential gene and protein expression studies are used to differentiate between normal and tumor tissue (see Declaration, paragraph 7).

In paragraph 5 of his declaration, Mr. Grimaldi states that the gene expression studies reported in Example 18 of the instant application were made from pooled samples of normal and of tumor tissues. Contrary to the PTO's assertions that this makes the data unreliable, Mr. Grimaldi explains that:

The DNA libraries used in the gene expression studies were made from pooled samples of normal and of tumor tissues. *Data from pooled samples is more likely to be accurate than data obtained from a sample from a single individual.* That is, the detection of variations in gene expression is likely to represent a more generally relevant condition when pooled samples from normal tissues are compared with pooled samples from tumors in the same tissue type. (Paragraph 5) (emphasis added).

In paragraphs 6 and 7, Mr. Grimaldi explains that the semi-quantitative analysis employed to generate the data of Example 18 is sufficient to determine if a gene is over- or under-expressed in tumor cells compared to corresponding normal tissue. He states that any visually detectable difference seen between two samples is indicative of at least a two-fold



Appl. No. : 10/063,530  
Filed : May 2, 2002

difference in cDNA between the tumor tissue and the counterpart normal tissue. He also states that the results of the gene expression studies indicate that the genes of interest “can be used to differentiate tumor from normal.” He explains that, contrary to the PTO’s assertions, “The precise levels of gene expression are irrelevant; what matters is that there is a relative difference in expression between normal tissue and tumor tissue.” (Paragraph 7). Thus, since it is the relative level of expression between normal tissue and suspected cancerous tissue that is important, the precise level of expression in normal tissue is irrelevant. Likewise, there is no need for quantitative data to compare the level of expression in normal and tumor tissue. As Mr. Grimaldi states, “If a difference is detected, this indicates that the gene and its corresponding polypeptide and antibodies against the polypeptide are useful for diagnostic purposes, to screen samples to differentiate between normal and tumor.”

The PTO also argues that because cancerous tissue can be aneuploid, and the data in the instant application was not corrected for aneuploidy, “a higher amplification of a gene does not necessarily mean higher expression or lower in a tissue, but can merely be an indication that the cancer tissue is aneuploid.” Office Action at 7. The PTO relies on a single reference, Sen, 2000, Curr. Opin. Oncol. 12:82-88 (hereinafter Sen).

Applicants agree that Sen teaches that most cancerous tissues are aneuploid, and that it is possible that the results reported in Example 18 may be due to aneuploidy in the tumor cells tested. However, Applicants fail to see how it is relevant to the utility of the claimed polypeptides, or their corresponding antibodies, whether the over and under-expression reported in Example 18 is due to aneuploidy or not. Regardless of whether the over- and under-expression of the gene encoding PRO1180 is a result of increased or decreased transcription of the gene, aneuploidy, or some other regulatory mechanism, the fact remains that it is over and underexpressed in rectal tumor and kidney tumor as compared to normal tissue, and it is therefore useful as a diagnostic tool for cancer since it can be used as a molecular marker for cancer.

Applicants have established that the accepted understanding in the art is that there is a direct correlation between mRNA levels and the level of expression of the encoded protein

The PTO argues that there is no supporting evidence that the PRO1180 polypeptide invention is over and under expressed in the tumor tissue compared to the normal tissue. The PTO also states that the literature reports that it does not *necessarily* follow that an increase in

**Appl. No.** : 10/063,530  
**Filed** : May 2, 2002

gene copy number results in increased gene expression and increased polypeptide expression. Relying on Pennica *et al.*, 1998, PNAS USA 95:14717-14722 (hereinafter Pennica), the PTO states that one cannot extrapolate the expression data provided in the specification to support the implicit assertion that the PRO1180 polypeptides and antibodies can be used in cancer diagnosis or therapy.

Applicants respectfully submit that the PTO is confusing the relationship between an increase in copy number of a gene or gene amplification on the one hand, and increased expression of a gene or mRNA expression on the other. The PTO focuses on the statement from Pennica that the *WISP-2* gene DNA was amplified in colon tumors, but its mRNA expression was significantly reduced in the majority of tumors compared with the expression in normal colonic mucosa from the same patient. Office Action at 7. As an aside, it should be noted that this result may not even be real, as the authors explain: “Because the center of the 20q13 amplicon [of which *WISP-2* is a part] has not yet been identified, it is possible that the apparent amplification observed for *WISP-2* may be caused by another gene in this amplicon.” Pennica at 14722 (emphasis added).

However, even if the lack of correlation between DNA copy number and mRNA level in Pennica is real, Pennica says nothing about a lack of correlation between the level of mRNA and the level of protein expression – Pennica did not even look at protein expression. It is the correlation between mRNA level, as assessed by probing the cDNA library, and the level of protein expression which is at issue here, not the correlation of gene copy number and mRNA levels. The data Applicants report in Example 18 indicates that there are more copies of the mRNA encoding PRO1180 in rectal tumor and normal kidney than in normal rectum and kidney tumor. Nothing in Pennica is contrary to Applicants’ assertion that it is well-established in the art that the level of protein is positively correlated to the level of mRNA.

As stated above, the standard for utility is not absolute certainty, but rather whether one of skill in the art would be more likely than not to believe the asserted utility. Even if Pennica supported the PTO’s argument, which it does not, one contrary example does not establish that one of skill in the art would find it is more likely than not, that in general, there is no correlation between mRNA level and protein levels. In fact, the working hypothesis among those skilled in the art is that there is a direct correlation between mRNA levels and protein levels.

Appl. No. : 10/063,530  
Filed : May 2, 2002

Applicants further submit that it is generally well-understood in the art that in the majority of cases, gene expression correlates with levels of protein expression. In support of Applicants' position, Applicants submit herewith as Exhibit B a second Declaration by J. Christopher Grimaldi. This declaration was originally submitted in connection with co-pending application Serial No. 10/006,867. As stated in paragraph 5 of the declaration, "Those who work in this field are well aware that in the vast majority of cases, when a gene is over-expressed...the gene product or polypeptide will also be overexpressed." The references cited in the declaration and submitted herewith support this statement.

Scientists regularly rely on the results of gene expression and even gene amplification results to point the way to differential protein expression in disease and, in this case, cancer. Submitted herewith as Exhibit C is the declaration of Dr. Paul Polakis, principal investigator of the Tumor Antigen Project of Genentech, Inc., the assignee of the present application. As Dr. Polakis explains, the primary focus of the microarray project was to identify tumor cell markers useful as targets for both the diagnosis and treatment of cancer in humans. The scientists working on the project extensively rely on results of microarray experiments in their effort to identify such markers. As Dr. Polakis explains, using microarray analysis, Genentech scientists have identified approximately 200 gene transcripts (mRNAs) that are present in human tumor cells at significantly higher levels than in corresponding normal human cells. To date, they have generated antibodies that bind to about 30 of the tumor antigen proteins expressed from these differentially expressed gene transcripts and have used these antibodies to quantitatively determine the level of production of these tumor antigen proteins in both human cancer cells and corresponding normal cells. Having compared the levels of mRNA and protein in both the tumor and normal cells analyzed, they found a very good correlation between mRNA and corresponding protein levels. Specifically, in approximately 80% of their observations they have found that increases in the level of a particular mRNA correlates with changes in the level of protein expressed from that mRNA. While the proper legal standard is to show that the existence of correlation between mRNA and polypeptide levels is more likely than not, the showing of approximately 80% correlation for the molecules tested in the Polakis Declaration greatly exceeds this legal standard. Based on these experimental data and his vast scientific experience of more than 20 years, Dr. Polakis states that, for human genes, increased mRNA levels typically correlate with an increase in abundance of the encoded protein. He further confirms that "it

remains a central dogma in molecular biology that increased mRNA levels are predictive of corresponding increased levels of the encoded protein.”

Additional references support this position. For example, Orntoft et al. (submitted herewith as Exhibit D) studied transcript levels of 5600 genes in malignant bladder cancers which were linked to a gain/loss of chromosomal material using an array-based method. Orntoft et al. showed that there was a gene dosage effect and teach that “in general (18 of 23 cases) chromosomal areas with more than 2-fold gain of DNA showed a corresponding increase in mRNA transcripts” (see column 1, abstract). In addition, Hyman et al. (submitted herewith as Exhibit E) showed, using CGH analysis and cDNA microarrays to compare DNA copy numbers and mRNA expression of over 12,000 genes in breast cancer tumors and cell lines, that there is “evidence of a prominent global influence of copy number changes on gene expression levels” (see page 6244, column 1, last paragraph). Additional supportive teachings are also provided by Pollack et al. (submitted herewith as Exhibit F) who studied a series of primary human breast tumors and found that “...62% of highly amplified genes show moderately or highly elevated expression, that DNA copy number influences gene expression across a wide range of DNA copy number alterations (deletion, low-, mid- and high-level amplification), that on average, a 2-fold change in DNA copy number is associated with a corresponding 1.5-fold change in mRNA levels” (see column 1, abstract). Thus, these articles collectively teach that in general, gene expression correspondingly influences mRNA expression.

Taken together, despite some teachings in the art of certain genes that do not fit within this paradigm which are exceptions rather than the rule, in the vast majority of cases, the combined teachings in the art, exemplified by Orntoft et al., Hyman et al. and Pollack et al. and the Grimaldi and Polakis declarations, overwhelmingly teach that gene expression influences protein levels. Thus, one of skill in the art would reasonably expect, in this instance, based on the gene expression data for the PRO1180 gene, that the PRO1180 protein is concomitantly over-expressed in normal kidney and rectal tumor. Thus, Applicants submit that the PRO1180 protein and antibodies against it have utility in the diagnosis of cancer and based on such a utility, one of skill in the art would know exactly how to use these molecules.

Claimed antibodies would have diagnostic utility even if the protein were not over-expressed

Even assuming *arguendo* that, there is no correlation between gene expression and increased or decreased protein expression for PRO1180, which Applicants submit is not true, the polypeptide encoded by a gene that is over-expressed in cancer would still have a credible, specific and substantial utility. In support, Applicants submit herewith as Exhibit G the Declaration of Avi Ashkenazi, Ph.D., an expert in the field of cancer biology. Dr. Ashkenazi's Declaration explains that:

even when amplification of a cancer marker gene does not result in significant over-expression of the corresponding gene product, this very absence of gene product over-expression still provides significant information for cancer diagnosis and treatment. Thus, if over-expression of the gene product does not parallel gene amplification in certain tumor types but does so in others, then parallel monitoring of gene amplification and gene product over-expression enables more accurate tumor classification and hence better determination of suitable therapy. In addition, absence of over-expression is crucial information for the practicing clinician. If a gene is amplified but the corresponding gene product is not over-expressed, the clinician accordingly will decide not to treat a patient with agents that target that gene product.

Applicants submit that simultaneous testing of gene expression (or gene amplification) and gene product over-expression or under-expression enables more accurate tumor classification, even if the gene-product, the protein, is not over- or under-expressed. This leads to better determination of a suitable therapy. Further, as explained in Dr. Ashkenazi's Declaration, absence of over-expression of the protein itself is crucial information for the practicing clinician. If a gene is over-expressed in a tumor, but the corresponding gene product is not over-expressed, the clinician need not treat a patient with agents that target that gene product. This not only saves money, but further prevents unnecessary exposure of the patient to the side effects of gene product targeted agents.

This is further supported by the teachings in the article by Hanna and Mornin, submitted herewith as Exhibit H. The article teaches that the HER-2/neu gene has been shown to be amplified and/or over-expressed in 10%-30% of invasive breast cancers and in 40-60% of intraductal breast carcinoma. Further, the article teaches that diagnosis of breast cancer includes testing both the amplification of the HER-2/neu gene (by FISH) as well as the over-expression of the HER-2/neu gene product (by IHC). Even when the protein is not over-expressed, the assay

Appl. No. : 10/063,530  
Filed : May 2, 2002

relying on both tests leads to a more accurate classification of the cancer and a more effective treatment of it.

The art indicates that, if a gene is over-expressed in cancer, it is more likely than not that the encoded protein will also be expressed at an elevated level. Even if not over-expressed, a polypeptide encoded by a gene that is over-expressed in cancer would still have utility. Thus, Applicants have demonstrated a credible, specific and substantial asserted utility for the PRO 1180 polypeptide and antibodies against the PRO1180 polypeptide. Based on the evidence and arguments presented herein, one skilled in the art, at the time the application was filed, would know how to use the claimed antibodies.

*Even if a prima facie case of lack of utility had been established, it should be withdrawn on consideration of the totality of evidence*

Applicants have provided several expert opinions and references supporting the utility of the present invention. Applicants submit that one of ordinary skill in the art would have no legitimate basis to doubt the credibility of the statements made by Mr. Grimaldi, and Dr. Polakis and Dr. Ashkenazi, and must treat as true the statements made by these experts. Applicant reminds the Examiner that "Office personnel must accept an opinion from a qualified expert that is based upon relevant facts whose accuracy is not being questioned; it is improper to disregard the opinion solely because of a disagreement over the significance or meaning of the facts offered." PTO Utility Examination Guidelines (2001).

Given the totality of the evidence provided, Applicants submit that they have established a specific and substantial credible utility for the claimed proteins as diagnostic agents. According to the PTO Utility Examination Guidelines (2001), irrefutable proof of a claimed utility is not required. Rather, a specific and substantial credible utility requires only a "reasonable" confirmation of a real world context of use. Applicants submit that they have established that it is more likely than not that one of skill in the art would reasonably accept the utility for the PRO1180 polypeptide set forth in the specification. In view of the above arguments, Applicants respectfully request that the PTO reconsider and withdraw the utility rejections under 35 U.S.C. §101 and §112, first paragraph.

**Appl. No.** : **10/063,530**  
**Filed** : **May 2, 2002**

**35 U.S.C. §112, second paragraph**

The Examiner rejected Claims 1-6 as indefinite for the recitation of “an antibody that binds” and an “antibody that specifically binds”. Claim 6 has been cancelled and Claim 1 amended to recite “specifically binds”. Applicants submit that the term “specifically binds” has a well established meaning and is understood by those skilled in the art to mean that the antibody binds to a particular polypeptide, and does not significantly bind to any other polypeptide. Since claim terms should be given their ordinary, art-recognized meaning, the present rejection is believed to be misplaced, and should be withdrawn.

**Rejection under 35 U.S.C. §102(b)**

The Examiner rejected Claims 1, 2, 5 and 6 under U.S.C. §102(b) as anticipated by Edwards et al. U.S. Patent No. 6,222,029, (issued April 2001) ('029).

Applicants have established that they are entitled to the priority date of PCT/US00/23328, filed August 24, 2000 for the instantly claimed invention. The April 2001 issue date of the '029 patent is not more than one year prior to the August 24, 2000 priority date of the present application. Accordingly, the '029 patent is not prior art under §102(b), and the rejection should be withdrawn.

**Rejection under 35 U.S.C. §102(e)**

The Examiner rejected Claims 1-6 under U.S.C. §102(e) as anticipated by Edwards et al. U.S. Patent No. 6,639,063 (filed July 21, 2000, issued October 28, 2003) ('063).

The PTO states that SEQ ID NO:4227 described in the '063 patent has a local similarity of about 61% over the first 158 amino acids of SEQ ID NO:28. The overall similarity between the sequences, however, is only about 22%.

The claims are directed to antibodies which specifically bind to the polypeptide of SEQ ID NO:28. As discussed above, the term “specifically binds” has a well established meaning and is understood by those skilled in the art to mean that the antibody binds to a particular polypeptide, and does not significantly bind to any other polypeptide. This, then means that the claimed antibodies bind to the polypeptide of SEQ ID NO:28 and not substantially to any polypeptide which is not SEQ ID NO:28.

Appl. No. : 10/063,530  
Filed : May 2, 2002

The claimed antibodies which specifically bind to SEQ ID NO:28 would not substantially bind to SEQ ID NO:4227 described in the '063 patent. Thus, the '063 patent can not anticipate the claimed antibodies because every limitation of the claim is not taught in the '063 patent.

Applicants therefore request that the rejection under §102(e) be withdrawn.

**Rejection under 35 U.S.C. §103(a)**

Claims 3 and 4 are rejected as unpatentable over Edwards et al. '029 in view of Mack et al. U.S. Patent 6,294,343 (issued September 2001) ('343)

As noted above, Applicants are entitled to priority to PCT/US00/23328, filed August 24, 2000 for the instantly claimed invention. The April 2001 issue date of the '029 patent is not more than one year prior to the August 24, 2000 priority date of the present application. Accordingly, the '029 patent is not available as prior art under §103(a).

Applicants therefore request that the rejections under 35 U.S.C. §103(a) be withdrawn.

**Conclusion**

The present application is believed to be in prima facie condition for allowance, and an early action to that effect is respectfully solicited. Applicants invite the Examiner to call the undersigned if any issues may be resolved through a telephonic conversation.

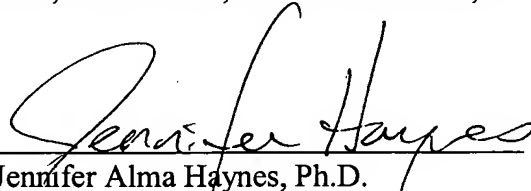
Please charge any additional fees, including any fees for additional extension of time, or credit overpayment to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: August 18, 2004

By:

  
Jennifer Alma Haynes, Ph.D.  
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## EXHIBIT A

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Baton, et al.  
Appl. No. : 10/063,557  
Filed : May 2, 2002  
For : SECRETED AND  
TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC  
ACIDS ENCODING THE SAME  
Examiner : David J. Blanchard  
Group Art Unit : 1642

DECLARATION OF J. CHRISTOPHER GRIMALDI, UNDER 37 CFR §1.132

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I, J. Christopher Grimaldi, declare and state as follows:

1. I am a Senior Research Associate in the Molecular Biology Department of Genentech, Inc., South San Francisco, CA 94080.
2. My scientific Curriculum Vitae, including my list of publications, is attached to and forms part of this Declaration (Exhibit A).
3. I joined Genentech in January of 1999. From 1999 to 2003, I directed the Cloning Laboratory in the Molecular Biology Department. During this time I directed or performed numerous molecular biology techniques including semi-quantitative Polymerase Chain Reaction (PCR) analyses. I am currently involved, among other projects, in the isolation of genes coding for membrane associated proteins which can be used as targets for antibody therapeutics against cancer. In connection with the above-identified patent application, I personally performed or directed the semi-quantitative PCR gene expression analyses in the assay entitled "Tumor Versus Normal Differential Tissue Expression Distribution," which is described in EXAMPLE 18 in the specification. These studies were used to identify differences in gene expression between tumor tissue and their normal counterparts.
4. EXAMPLE 18 reports the results of the PCR analyses conducted as part of the investigating of several newly discovered DNA sequences. This process included developing

Appl. No. : 10/063,557  
Filed : May 2, 2002

primers and analyzing expression of the DNA sequences of interest in normal and tumor tissues. The analyses were designed to determine whether a difference exists between gene expression in normal tissues as compared to tumor in the same tissue type.

5. The DNA libraries used in the gene expression studies were made from pooled samples of normal and of tumor tissues. Data from pooled samples is more likely to be accurate than data obtained from a sample from a single individual. That is, the detection of variations in gene expression is likely to represent a more generally relevant condition when pooled samples from normal tissues are compared with pooled samples from tumors in the same tissue type.

6. In differential gene expression studies, one looks for genes whose expression levels differ significantly under different conditions, for example, in normal versus diseased tissue. Thus, I conducted a semi-quantitative analysis of the expression of the DNA sequences of interest in normal versus tumor tissues. Expression levels were graded according to a scale of +, -, and +/- to indicate the amount of the specific signal detected. Using the widely accepted technique of PCR, it was determined whether the polynucleotides tested were more highly expressed, less expressed, or whether expression remained the same in tumor tissue as compared to its normal counterpart. Because this technique relies on the visual detection of ethidium bromide staining of PCR products on agarose gels, it is reasonable to assume that any detectable differences seen between two samples will represent at least a two fold difference in cDNA.

7. The results of the gene expression studies indicate that the genes of interest can be used to differentiate tumor from normal. The precise levels of gene expression are irrelevant; what matters is that there is a relative difference in expression between normal tissue and tumor tissue. The precise type of tumor is also irrelevant; again, the assay was designed to indicate whether a difference exists between normal tissue and tumor tissue of the same type. If a difference is detected, this indicates that the gene and its corresponding polypeptide and antibodies against the polypeptide are useful for diagnostic purposes, to screen samples to differentiate between normal and tumor. Additional studies can then be conducted if further information is desired.

8. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information or belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful statements may jeopardize the validity of the application or any patent issued thereon.

By: \_\_\_\_\_

J. Christopher Grimaldi

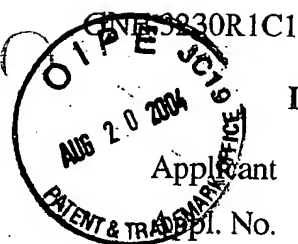
Date: \_\_\_\_\_

8/10/2004

SA:DOCS/AOK/AOK/5591.DOC/081004

EXHIBIT B

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Eaton, et al.  
Pl. No. : 10/006867  
Filed : December 6, 2001  
For : SECRETED AND  
TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC  
ACIDS ENCODING THE SAME  
Examiner : Helms L.  
Group Art Unit : 1642

**DECLARATION OF J. CHRISTOPHER GRIMALDI, UNDER 37 C.F.R. §1.132**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

I, J. Christopher Grimaldi, declare and say as follows:

1. I am a Senior Research Associate in the Molecular Biology Department of Genentech, Inc., South San Francisco, CA 94080.
2. I joined Genentech in January of 1999. From 1999 to 2003, I directed the Cloning Laboratory in the Molecular Biology Department. During this time I directed or performed numerous molecular biology techniques including qualitative Polymerase Chain Reaction (PCR) analyses. I am currently involved, among other projects, in the isolation of genes coding for membrane associated proteins which can be used as targets for antibody therapeutics against cancer. In connection with the above-identified patent application, I personally performed or directed the qualitative PCR analyses in the assay entitled "Tumor Versus Normal Differential Tissue Expression Distribution" which is described in EXAMPLE 18 in the specification that were used to identify differences in gene expression between tumor tissue and their normal counterparts.
3. My scientific Curriculum Vitae, including my list of publications, is attached to and forms part of this Declaration (Exhibit A).
4. Chromosomal aberrations, such as gene amplification, and chromosomal translocations are important markers of specific types of cancer and lead to the aberrant expression of specific genes and their encoded polypeptides. Gene amplification is a process in which specific regions of a chromosome are duplicated, thus creating multiple copies of certain genes that normally exist as a single copy. In addition, chromosomal translocations occur when

two different chromosomes break and are rejoined to each other chromosome resulting in a chimeric chromosome which displays a different expression pattern relative to the parent chromosomes. Amplification of certain genes such as Her2/Neu [Singleton *et al.*, Pathol. Annu., 27Pt1:165-190], or chromosomal translocations such as t(5;14), [Grimaldi *et al.*, Blood, 73(8):2081-2085(1989); Meeker *et al.*, Blood, 76(2):285-289(1990)] give cancer cells a growth or survival advantage relative to normal cells, and might also provide a mechanism of tumor cell resistance to chemotherapy or radiotherapy. If the chromosomal aberration results in the aberrant expression of a mRNA and the corresponding gene product (the polypeptide), as they do in the aforementioned cases, then the gene product is a promising target for cancer therapy, for example, by the therapeutic antibody approach.

5. Those who work in this field are well aware that in the vast majority of cases, when a gene is over-expressed, as evidenced by an increased production of mRNA, the gene product or polypeptide will also be over-expressed. It is unlikely that one identifies increased mRNA expression without associated increased protein expression. Stated in another way, two cell samples which have differing mRNA concentrations for a specific gene are expected to have correspondingly different concentration of protein for that gene. Techniques used to detect mRNA, such as Northern Blotting, Differential Display, *in situ* hybridization, quantitative PCR, Taqman, and more recently Microarray technology all rely on the dogma that a change in mRNA will represent a similar change in protein. If this dogma did not hold true then these techniques would have little value and not be so widely used. The use of mRNA quantitation techniques have identified a seemingly endless number of genes which are differentially expressed in various tissues and these genes have subsequently been shown to have correspondingly similar changes in their protein levels. Thus, the detection of increased mRNA expression is expected to result in increased polypeptide expression. The detection of increased polypeptide expression can be used for cancer diagnosis and treatment.

6. However, even in the rare case where the protein expression does not correlate with the mRNA expression, this still provides significant information useful for cancer diagnosis and treatment. For example, if over-expression of a gene product does not correlate with over-expression of mRNA in certain tumor types but does so in others, then identification of both gene expression and protein expression enables more accurate tumor classification and hence better determination of suitable therapy. In addition, absence of over-expression of the gene product in the presence of a particular over-expression of mRNA is crucial information for the practicing clinician. If a gene is over-expressed but the corresponding gene product is not significantly over-expressed, the clinician accordingly will decide not to treat a patient with agents that target that gene product.

7. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information or belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful statements may jeopardize the validity of the application or any patent issued thereon.

Appl. No. : 10/006867  
Filed : December 6, 2001

By: \_\_\_\_\_

J. Christopher Grimaldi,

Date: \_\_\_\_\_

12/8/2003

## **J. Christopher Grimaldi**

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San Francisco, CA 94122  
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### **EDUCATION**

University of California, Berkeley  
Bachelor of Arts in Molecular Biology, 1984

### **EMPLOYMENT EXPERIENCE**

#### **SRA**

Genentech Inc., South San Francisco; 1/99 to present

Previously, was responsible to direct and manage the Cloning Lab. Currently focused on isolating cancer specific genes for the Tumor Antigen (TAP), and Secreted Tumor Protein (STOP) projects for the Oncology Department as well as Immunologically relevant genes for the Immunology Department. Directed a lab of 6 scientists focused on a company-wide team effort to identify and isolate secreted proteins for potential therapeutic use (SPDI). For the SPDI project my duties were, among other things, the critically important coordination of the cloning of thousands of putative genes, by developing a smooth process of communication between the Bioinformatics, Cloning, Sequencing, and Legal teams. Collaborated with several groups to discover novel genes through the Curagen project, a unique differential display methodology. Interacted extensively with the Legal team providing essential data needed for filing patents on novel genes discovered through the SPDI, TAP and Curagen projects. My group has developed, implemented and patented high throughput cloning methodologies that have proven to be essential for the isolation of hundreds of novel genes for the SPDI, TAP and Curagen projects as well as dozens of other smaller projects.

#### **Scientist**

DNAX Research Institute, Palo Alto; 9/91 to 1/99

Involved in multiple projects aimed at understanding novel genes discovered through bioinformatics studies and functional assays. Developed and patented a method for the specific depletion of eosinophils in vivo using monoclonal antibodies. Developed and implemented essential technical methodologies and provided strategic direction in the areas of expression, cloning, protein purification, general molecular biology, and monoclonal antibody production. Trained and supervised numerous technical staff.

#### **Facilities**

##### **Manager**

Corixa, Redwood City; 5/89 - 7/91.

Directed plant-related activities, which included expansion planning, maintenance, safety, purchasing, inventory control, shipping and receiving, and laboratory management. Designed and implemented the safety program. Also served as liaison to regulatory agencies at the local, state and federal level. Was in charge of property leases, leasehold improvements, etc. Negotiated vendor contracts and directed the purchasing department. Trained and supervised personnel to carry out the above-mentioned duties.

# The t(5;14) Chromosomal Translocation in a Case of Acute Lymphocytic Leukemia Joins the Interleukin-3 Gene to the Immunoglobulin Heavy Chain Gene

By J. Christopher Grimaldi and Timothy C. Meeker

Chromosomal translocations have proven to be important markers of the genetic abnormalities central to the pathogenesis of cancer. By cloning chromosomal breakpoints one can identify activated proto-oncogenes. We have studied a case of B-lineage acute lymphocytic leukemia (ALL) that was associated with peripheral blood eosinophilia. The chromosomal translocation t(5;14) (q31;q32) from this sample was cloned and studied at the molecular level. This

translocation joined the immunoglobulin heavy chain joining (Jh) region to the promotor region of the interleukin-3 (IL-3) gene in opposite transcriptional orientations. The data suggest that activation of the IL-3 gene by the enhancer of the immunoglobulin heavy chain gene may play a central role in the pathogenesis of this leukemia and the associated eosinophilia.

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**K**ARYOTYPIC STUDIES of leukemia and lymphoma have identified frequent nonrandom chromosomal translocations. Some of these translocations juxtapose the immunoglobulin heavy chain (IgH) gene with important

protooncogenes, such as *c-myc* and *bcl-2*.<sup>1,2</sup> In this way, the IgH gene can activate proto-oncogenes, resulting in disordered gene expression and a step in the development of cancer. The investigation of additional nonrandom translocations into the IgH locus allows us to identify new genes promoting the generation of leukemia and lymphoma.

A distinct subtype of acute lymphocytic leukemia (ALL) has been characterized by B-lineage phenotype, associated eosinophilia in the peripheral blood, and a t(5;14)(q31;q32) chromosomal translocation.<sup>3,4</sup> This syndrome probably occurs in <1% of all patients with ALL. We hypothesized that the cloning of the translocation characteristic of this leukemia might allow the identification of an important gene on chromosome 5 that plays a role in the evolution of this disease. In this report we demonstrate that the interleukin-3 gene (IL-3) and the IgH gene are joined by this translocation.

## MATERIALS AND METHODS

**Sample and DNA blots.** A bone marrow aspirate from a representative patient with ALL (L1 morphology by French-American-British [FAB] criteria), peripheral eosinophilia (up to 20,000 per microliter with a normal value of <350 per microliter) and a t(5;14)(q31;q32) translocation was studied. Using published methods, genomic DNA was isolated and DNA blots were made.<sup>5</sup> Briefly, 10 µg of high molecular weight (mol wt) DNA were digested using an appropriate restriction enzyme and electrophoresed on a 0.8% agarose gel. The gel was stained with ethidium bromide, photographed, denatured, neutralized, and transferred to Hybond (Amersham, Arlington Heights, IL). After treatment of the filter with ultraviolet light, hybridization was performed. The filter was washed to a final stringency of 0.2% saturated sodium citrate (SSC) and 0.1% sodium lauryl sulfate (SDS) and exposed to film. The human Jh probe has been previously reported.<sup>6</sup>

**Genomic library.** The genomic library was made using pub-

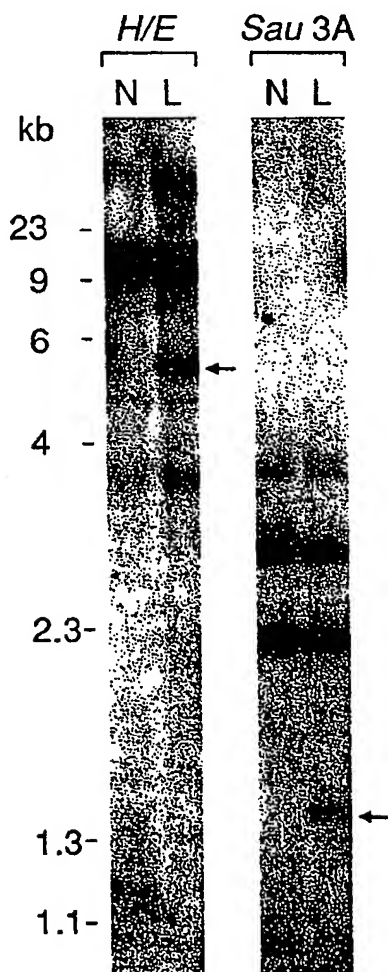


Fig 1. DNA blots of the leukemia sample. The restriction fragment pattern of normal human DNA (N) and the leukemia sample (L) were compared using a human Jh probe. Rearranged bands are indicated by arrows. Sample L exhibits a single rearranged band with both *Hind III*/*EcoRI* and *Sau3A* restriction digests. The rearranged bands are less intense than the other bands because the majority of cells in the sample represent normal bone marrow elements.

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Submitted February 22, 1989; accepted March 8, 1989.

Supported by NIH Grant No. CA01102.

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0006-4971/89/7308-0031\$3.00/0

## RAPID COMMUNICATION

### Activation of the Interleukin-3 Gene by Chromosome Translocation in Acute Lymphocytic Leukemia With Eosinophilia

By Timothy C. Meeker, Dan Hardy, Cheryl Willman, Thomas Hogan, and John Abrams

The t(5;14)(q31;q32) translocation from B-lineage acute lymphocytic leukemia with eosinophilia has been cloned from two leukemia samples. In both cases, this translocation joined the IgH gene and the interleukin-3 (IL-3) gene. In one patient, excess IL-3 mRNA was produced by the leukemic cells. In the second patient, serum IL-3 levels were measured and shown to correlate with disease

**A** NUMBER OF chromosome translocations have been associated with human leukemia and lymphoma. In many cases the study of these translocations has led to the discovery or characterization of proto-oncogenes, such as *bcl-2*, *c-abl*, and *c-myc*, that are located adjacent to the translocation.<sup>1,2</sup> It is now widely understood that cancer-associated translocations disrupt nearby proto-oncogenes.

A distinct subtype of acute leukemia is characterized by the triad of B-lineage immunophenotype, eosinophilia, and the t(5;14)(q31;q32) translocation.<sup>3,4</sup> Leukemic cells from such patients have been positive for terminal deoxynucleotidyl transferase (Tdt), common acute lymphoblastic leukemia antigen (CALLA), and CD19, but negative for surface or cytoplasmic immunoglobulin. In previous work, we cloned the t(5;14) breakpoint from one leukemic sample (Case 1) and determined that the IgH and interleukin-3 (IL-3) genes were joined by this abnormality.<sup>5</sup> In this report, we extend those findings by showing that the t(5;14)(q31;q32) translocation from a second leukemia sample (Case 2) has a similar structure, and we report our study of growth factor expression in these patients.

#### MATERIALS AND METHODS

**Samples and Southern blots.** Case 1 has been described.<sup>5,6</sup> Clinical features of Case 2 have been described in detail.<sup>3</sup> DNA isolation and Southern blotting was done using previously described methods.<sup>3</sup> Filters were hybridized with an immunoglobulin Jh probe, a 280 bp *Bam*HI/*Eco*RI genomic IL-3 fragment, and an IL-3 cDNA probe.<sup>7,8</sup>

**Northern blots.** RNA isolation and Northern blotting have been described.<sup>9</sup> Briefly, Northern blots were done by separating 9 µg total RNA on 1% agarose-formaldehyde gels. Equal RNA loading in each lane was confirmed by ethidium bromide staining. Blots were hybridized with an IL-3 cDNA probe extending to the *Xho*I site in exon 5, a 720 bp *Sst*I/*Kpn*I probe derived from intron 2 of the IL-3 gene, a 600 bp *Nhe*I/*Hpa*I IL-5 cDNA probe, and a 500 bp *Pst*I/*Nco*I granulocyte-macrophage colony stimulating factor (GM-CSF) cDNA probe.<sup>10,12</sup>

**Polymerase chain reaction.** Primers were designed with *Bam*HI sites for cloning. One primer hybridized to the Jh sequences from the IgH gene (Primer 144: 5'-TAGGATCCGACGGTGACCAGGT), and the other hybridized to the region of the TATA box in the IL-3 gene (Primer 161: 5'-AACAGGATCCCGCCTTATATGTGCAG). Polymerase chain reaction (PCR) (95°C for 1 minute, 61°C for 30 seconds, and 72°C for 3 minutes) was done using 500 ng genomic DNA and 50 pmol of each primer in 100 µL containing 67 mmol/L Tris-HCl pH 8.8, 6.7 mmol/L MgCl<sub>2</sub>, 10% dimethyl sulfoxide (DMSO), 170 µg/mL bovine serum albumin (BSA) (fraction V),

activity. There was no evidence of excess granulocyte/macrophage colony stimulating factor (GM-CSF) or IL-5 expression. Our data support the formulation that this subtype of leukemia may arise in part because of a chromosome translocation that activates the IL-3 gene, resulting in autocrine and paracrine growth effects.

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16.6 mmol/L ammonium sulfate, 1.5 mmol/L each dNTP and Taq polymerase (Perkin-Elmer, Norwalk, CT).<sup>13</sup>

**Sequencing.** Sequencing was done by chain termination in M13 vectors.<sup>14</sup> As part of this study, we sequenced a subclone of a normal IL-3 promoter, covering 598 base pairs from a *Sma*I site at position -1240 (with respect to the proposed site of transcription initiation) to an *Nhe*I site at position -642. The plasmid containing this region was a gift from Naoko Arai of the DNAX Research Institute.

**Expression in Cos7 cells.** A genomic IL-3 fragment from Case 1 was cloned into the pXM expression vector.<sup>10</sup> Briefly, the *Hind*III/*Sal*I fragment containing the IL-3 gene was subcloned from the previously described phage clone 4 into pUC18.<sup>5</sup> The 2.6 kb fragment extending from the *Sma*I site 61 bp upstream of the IL-3 transcription start to the *Sma*I site in the polylinker was cloned into the blunted *Xho*I site of pXM. The negative control construct was the pXM vector without insert. Plasmids were introduced into Cos7 cells by electroporation, and supernatant was collected after 48 hours in culture.

**TF1 bioassay.** TF-1 cells were passaged in RPMI 1640 supplemented with 10% heat-inactivated fetal bovine serum, 2 mmol L-glutamine, and 1 ng/mL human GM-CSF.<sup>15</sup> Samples and antibodies were diluted in this same medium lacking GM-CSF but containing penicillin and streptomycin. A 25 µL volume of serial dilutions of patient serum was added to wells in a flat bottom 96-well microtiter plate. Rat anti-cytokine monoclonal antibody in a volume of 25 µL was added to appropriate wells and preincubated for 1 hour at 37°C. Fifty microliters of twice washed TF-1 cells were added to each well, giving a final cell concentration of 1 × 10<sup>4</sup> cells per well (final volume, 100 µL). The plate was incubated for 48 hours. The remaining cell viability was determined metabolically by the colori-

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Submitted March 27, 1990; accepted April 19, 1990.

Supported in part by the University of California Cancer Research Coordinating Committee and University of New Mexico Cancer Center funding from the state of New Mexico. The DNAX Research Institute is supported by Schering-Plough.

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0006-4971/90/7602-0022\$3.00/0



## Clinical and Pathologic Significance of the *c-erbB-2* (*HER-2/neu*) Oncogene

Timothy P. Singleton and John G. Strickler

The *c-erbB-2* oncogene was first shown to have clinical significance in 1987 by Slamon et al,<sup>79</sup> who reported that *c-erbB-2* DNA amplification in breast carcinomas correlated with decreased survival in patients with metastasis to axillary lymph nodes. Subsequent studies, however, of *c-erbB-2* activation in breast carcinoma reached conflicting conclusions about its clinical significance. This oncogene also has been reported to have clinical and pathologic implications in other neoplasms. Our review summarizes these various studies and examines the clinical relevance of *c-erbB-2* activation, which has not been emphasized in recent reviews.<sup>37,38,55</sup> The molecular biology of the *c-erbB-2* oncogene has been extensively reviewed<sup>37,38,55</sup> and will be discussed only briefly here.

### BACKGROUND

The *c-erbB-2* oncogene was discovered in the 1980s by three lines of investigation. The *neu* oncogene was detected as a mutated transforming gene in neuroblastomas induced by ethylnitrosurea treatment of fetal rats.<sup>6,73,74,78</sup> The *c-erbB-2* was a human gene discovered by its homology to the retroviral gene *v-erbB*.<sup>33,49,78</sup> *HER-2* was isolated by screening a human genomic DNA library for homology with *v-erbB*.<sup>24</sup> When the DNA sequences were determined subsequently, *c-erbB-2*, *HER-2*, and *neu* were found to represent the same gene. Recently, the *c-erbB-2* oncogene also has been referred to as *NGL*.

The *c-erbB-2* DNA is located on human chromosome 17q21<sup>24,33,68</sup> and codes for *c-erbB-2* mRNA (4.6 kb), which translates *c-erbB-2* protein (p185). This



## EXHIBIT C

### DECLARATION OF PAUL POLAKIS, Ph.D.

I, Paul Polakis, Ph.D., declare and say as follows:

1. I was awarded a Ph.D. by the Department of Biochemistry of the Michigan State University in 1984. My scientific Curriculum Vitae is attached to and forms part of this Declaration (Exhibit A).
2. I am currently employed by Genentech, Inc. where my job title is Staff Scientist. Since joining Genentech in 1999, one of my primary responsibilities has been leading Genentech's Tumor Antigen Project, which is a large research project with a primary focus on identifying tumor cell markers that find use as targets for both the diagnosis and treatment of cancer in humans.
3. As part of the Tumor Antigen Project, my laboratory has been analyzing differential expression of various genes in tumor cells relative to normal cells. The purpose of this research is to identify proteins that are abundantly expressed on certain tumor cells and that are either (i) not expressed, or (ii) expressed at lower levels, on corresponding normal cells. We call such differentially expressed proteins "tumor antigen proteins". When such a tumor antigen protein is identified, one can produce an antibody that recognizes and binds to that protein. Such an antibody finds use in the diagnosis of human cancer and may ultimately serve as an effective therapeutic in the treatment of human cancer.
4. In the course of the research conducted by Genentech's Tumor Antigen Project, we have employed a variety of scientific techniques for detecting and studying differential gene expression in human tumor cells relative to normal cells, at genomic DNA, mRNA and protein levels. An important example of one such technique is the well known and widely used technique of microarray analysis which has proven to be extremely useful for the identification of mRNA molecules that are differentially expressed in one tissue or cell type relative to another. In the course of our research using microarray analysis, we have identified approximately 200 gene transcripts that are present in human tumor cells at significantly higher levels than in corresponding normal human cells. To date, we have generated antibodies that bind to about 30 of the tumor antigen proteins expressed from these differentially expressed gene transcripts and have used these antibodies to quantitatively determine the level of production of these tumor antigen proteins in both human cancer cells and corresponding normal cells. We have then compared the levels of mRNA and protein in both the tumor and normal cells analyzed.
5. From the mRNA and protein expression analyses described in paragraph 4 above, we have observed that there is a strong correlation between changes in the level of mRNA present in any particular cell type and the level of protein

expressed from that mRNA in that cell type. In approximately 80% of our observations we have found that increases in the level of a particular mRNA correlates with changes in the level of protein expressed from that mRNA when human tumor cells are compared with their corresponding normal cells.

6. Based upon my own experience accumulated in more than 20 years of research, including the data discussed in paragraphs 4 and 5 above and my knowledge of the relevant scientific literature, it is my considered scientific opinion that for human genes, an increased level of mRNA in a tumor cell relative to a normal cell typically correlates to a similar increase in abundance of the encoded protein in the tumor cell relative to the normal cell. In fact, it remains a central dogma in molecular biology that increased mRNA levels are predictive of corresponding increased levels of the encoded protein. While there have been published reports of genes for which such a correlation does not exist, it is my opinion that such reports are exceptions to the commonly understood general rule that increased mRNA levels are predictive of corresponding increased levels of the encoded protein.

7. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information or belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful statements may jeopardize the validity of the application or any patent issued thereon.

Dated: 5/07/04

By: Paul Polakis

Paul Polakis, Ph.D.

## CURRICULUM VITAE

PAUL G. POLAKIS  
Staff Scientist  
Genentech, Inc  
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### EDUCATION:

Ph.D., Biochemistry, Department of Biochemistry,  
Michigan State University (1984)

B.S., Biology. College of Natural Science, Michigan State University (1977)

### PROFESSIONAL EXPERIENCE:

2002-present	Staff Scientist, Genentech, Inc S. San Francisco, CA
1999- 2002	Senior Scientist, Genentech, Inc., S. San Francisco, CA
1997 -1999	Research Director Onyx Pharmaceuticals, Richmond, CA
1992- 1996	Senior Scientist, Project Leader, Onyx Pharmaceuticals, Richmond, CA
1991-1992	Senior Scientist, Chiron Corporation, Emeryville, CA.
1989-1991	Scientist, Cetus Corporation, Emeryville CA.
1987-1989	Postdoctoral Research Associate, Genentech, Inc., South San Francisco, CA.
1985-1987	Postdoctoral Research Associate, Department of Medicine, Duke University Medical Center, Durham, NC

1984-1985

Assistant Professor, Department of Chemistry,  
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1980-1984

Graduate Research Assistant, Department of  
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### **PUBLICATIONS:**

1. Polakis, P. G. and Wilson, J. E. 1982 Purification of a Highly Bindable Rat Brain Hexokinase by High Performance Liquid Chromatography. **Biochem. Biophys. Res. Commun.** 107, 937-943.
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# Genome-wide Study of Gene Copy Numbers, Transcripts, and Protein Levels in Pairs of Non-invasive and Invasive Human Transitional Cell Carcinomas\*

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Gain and loss of chromosomal material is characteristic of bladder cancer, as well as malignant transformation in general. The consequences of these changes at both the transcription and translation levels is at present unknown partly because of technical limitations. Here we have attempted to address this question in pairs of non-invasive and invasive human bladder tumors using a combination of technology that included comparative genomic hybridization, high density oligonucleotide array-based monitoring of transcript levels (5600 genes), and high resolution two-dimensional gel electrophoresis. The results showed that there is a gene dosage effect that in some cases superimposes on other regulatory mechanisms. This effect depended ( $p < 0.015$ ) on the magnitude of the comparative genomic hybridization change. In general (18 of 23 cases), chromosomal areas with more than 2-fold gain of DNA showed a corresponding increase in mRNA transcripts. Areas with loss of DNA, on the other hand, showed either reduced or unaltered transcript levels. Because most proteins resolved by two-dimensional gels are unknown it was only possible to compare mRNA and protein alterations in relatively few cases of well focused abundant proteins. With few exceptions we found a good correlation ( $p < 0.005$ ) between transcript alterations and protein levels. The implications, as well as limitations, of the approach are discussed. *Molecular & Cellular Proteomics* 1:37–45, 2002.

Aneuploidy is a common feature of most human cancers (1), but little is known about the genome-wide effect of this

phenomenon at both the transcription and translation levels. High throughput array studies of the breast cancer cell line BT474 has suggested that there is a correlation between DNA copy numbers and gene expression in highly amplified areas (2), and studies of individual genes in solid tumors have revealed a good correlation between gene dose and mRNA or protein levels in the case of c-erb-B2, *cyclin d1*, *ems1*, and N-myc (3–5). However, a high cyclin D1 protein expression has been observed without simultaneous amplification (4), and a low level of c-myc copy number increase was observed without concomitant c-myc protein overexpression (6).

In human bladder tumors, karyotyping, fluorescent *in situ* hybridization, and comparative genomic hybridization (CGH)<sup>1</sup> have revealed chromosomal aberrations that seem to be characteristic of certain stages of disease progression. In the case of non-invasive pTa transitional cell carcinomas (TCCs), this includes loss of chromosome 9 or parts of it, as well as loss of Y in males. In minimally invasive pT1 TCCs, the following alterations have been reported: 2q–, 11p–, 1q+, 11q13+, 17q+, and 20q+ (7–12). It has been suggested that these regions harbor tumor suppressor genes and oncogenes; however, the large chromosomal areas involved often contain many genes, making meaningful predictions of the functional consequences of losses and gains very difficult.

In this investigation we have combined genome-wide technology for detecting genomic gains and losses (CGH) with gene expression profiling techniques (microarrays and proteomics) to determine the effect of gene copy number on transcript and protein levels in pairs of non-invasive and invasive human bladder TCCs.

## EXPERIMENTAL PROCEDURES

**Material**—Bladder tumor biopsies were sampled after informed consent was obtained and after removal of tissue for routine pathology examination. By light microscopy tumors 335 and 532 were staged by an experienced pathologist as pTa (superficial papillary),

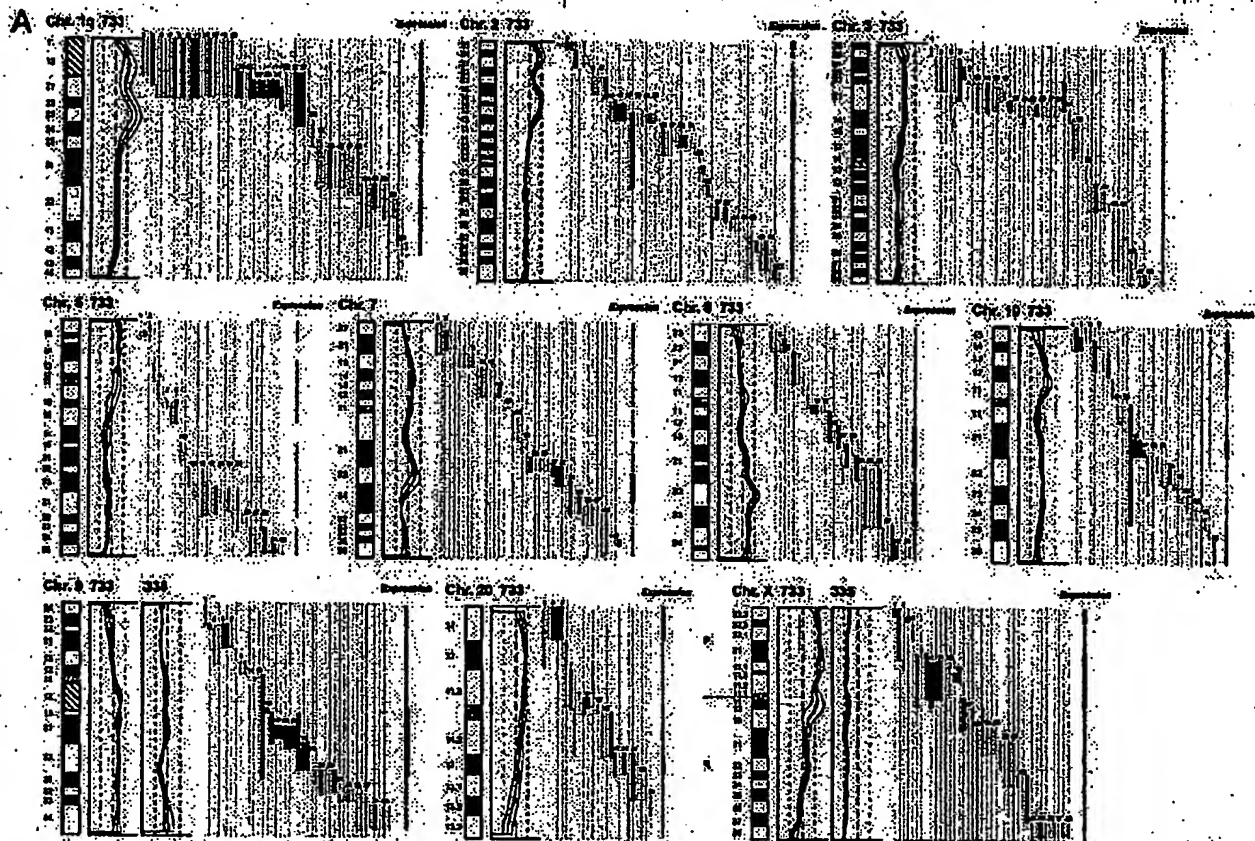
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Received, September 26, 2001, and in revised form, November 7, 2001.

Published, MCP Papers in Press, November 13, 2001, DOI 10.1074/mcp.M100019-MCP200

<sup>1</sup> The abbreviations used are: CGH, comparative genomic hybridization; TCC, transitional cell carcinoma; LOH, loss of heterozygosity; PA-FABP, psoriasis-associated fatty acid-binding protein; 2D, two-dimensional.

## Gene Copy Numbers, Transcripts, and Protein Levels



**FIG. 1.** DNA copy number and mRNA expression level. Shown from left to right are chromosome (Chr.), CGH profiles, gene location and expression level of specific genes, and overall expression level along the chromosome. **A**, expression of mRNA in invasive tumor 733 as compared with the non-invasive counterpart tumor 335. **B**, expression of mRNA in invasive tumor 827 compared with the non-invasive counterpart tumor 532. The average fluorescent signal ratio between tumor DNA and normal DNA is shown along the length of the chromosome (left). The bold curve in the ratio profile represents a mean of four chromosomes and is surrounded by thin curves indicating one standard deviation. The central vertical line (broken) indicates a ratio value of 1 (no change), and the vertical lines next to it (dotted) indicate a ratio of 0.5 (left) and 2.0 (right). In chromosomes where the non-invasive tumor 335 used for comparison showed alterations in DNA content, the ratio profile of that chromosome is shown to the right of the invasive tumor profile. The colored bars represent one gene each, identified by the running numbers above the bars (the name of the gene can be seen at [www.MDL.DK/sdata.html](http://www.MDL.DK/sdata.html)). The bars indicate the purported location of the gene, and the colors indicate the expression level of the gene in the invasive tumor compared with the non-invasive counterpart; >2-fold increase (black), >2-fold decrease (blue), no significant change (orange). The bar to the far right, entitled *Expression* shows the resulting change in expression along the chromosome; the colors indicate that at least half of the genes were up-regulated (black), at least half of the genes down-regulated (blue), or more than half of the genes are unchanged (orange). If a gene was absent in one of the samples and present in another, it was regarded as more than a 2-fold change. A 2-fold level was chosen as this corresponded to one standard deviation in a double determination of ~1800 genes. Centromeres and heterochromatic regions were excluded from data analysis.

grade I and II, respectively, tumors 733 and 827 were staged as pT1 (invasive into submucosa), 733 was staged as solid, and 827 was staged as papillary, both grade III.

**mRNA Preparation**—Tissue biopsies, obtained fresh from surgery, were embedded immediately in a sodium-guanidinium thiocyanate solution and stored at  $-80^{\circ}\text{C}$ . Total RNA was isolated using the RNeasy B RNA Isolation method (WAK-Chemie Medical GmbH). poly(A)<sup>+</sup> RNA was isolated by an oligo(dT) selection step (Oligotex mRNA kit; Qiagen).

**cRNA Preparation**—1  $\mu\text{g}$  of mRNA was used as starting material. The first and second strand cDNA synthesis was performed using the SuperScript<sup>®</sup> choice system (Invitrogen) according to the manufacturer's instructions but using an oligo(dT) primer containing a T7 RNA polymerase binding site. Labeled cRNA was prepared using the ME-GAscript<sup>®</sup> *in vitro* transcription kit (Ambion). Biotin-labeled CTP and

UTP (Enzo) was used, together with unlabeled NTPs in the reaction. Following the *in vitro* transcription reaction, the unincorporated nucleotides were removed using RNeasy columns (Qiagen).

**Array Hybridization and Scanning**—Array hybridization and scanning was modified from a previous method (13). 10  $\mu\text{g}$  of cRNA was fragmented at  $94^{\circ}\text{C}$  for 35 min in buffer containing 40 mM Tris acetate, pH 8.1, 100 mM KOAc, 30 mM MgOAc. Prior to hybridization, the fragmented cRNA in a 6 $\times$  SSPE-T hybridization buffer (1 M NaCl, 10 mM Tris, pH 7.6, 0.005% Triton), was heated to  $95^{\circ}\text{C}$  for 5 min, subsequently cooled to  $40^{\circ}\text{C}$ , and loaded onto the Affymetrix probe array cartridge. The probe array was then incubated for 16 h at  $40^{\circ}\text{C}$  at constant rotation (60 rpm). The probe array was exposed to 10 washes in 6 $\times$  SSPE-T at  $25^{\circ}\text{C}$  followed by 4 washes in 0.5 $\times$  SSPE-T at  $50^{\circ}\text{C}$ . The biotinylated cRNA was stained with a streptavidin-phycoerythrin conjugate, 10  $\mu\text{g}/\text{ml}$  (Molecular Probes) in 6 $\times$  SSPE-T

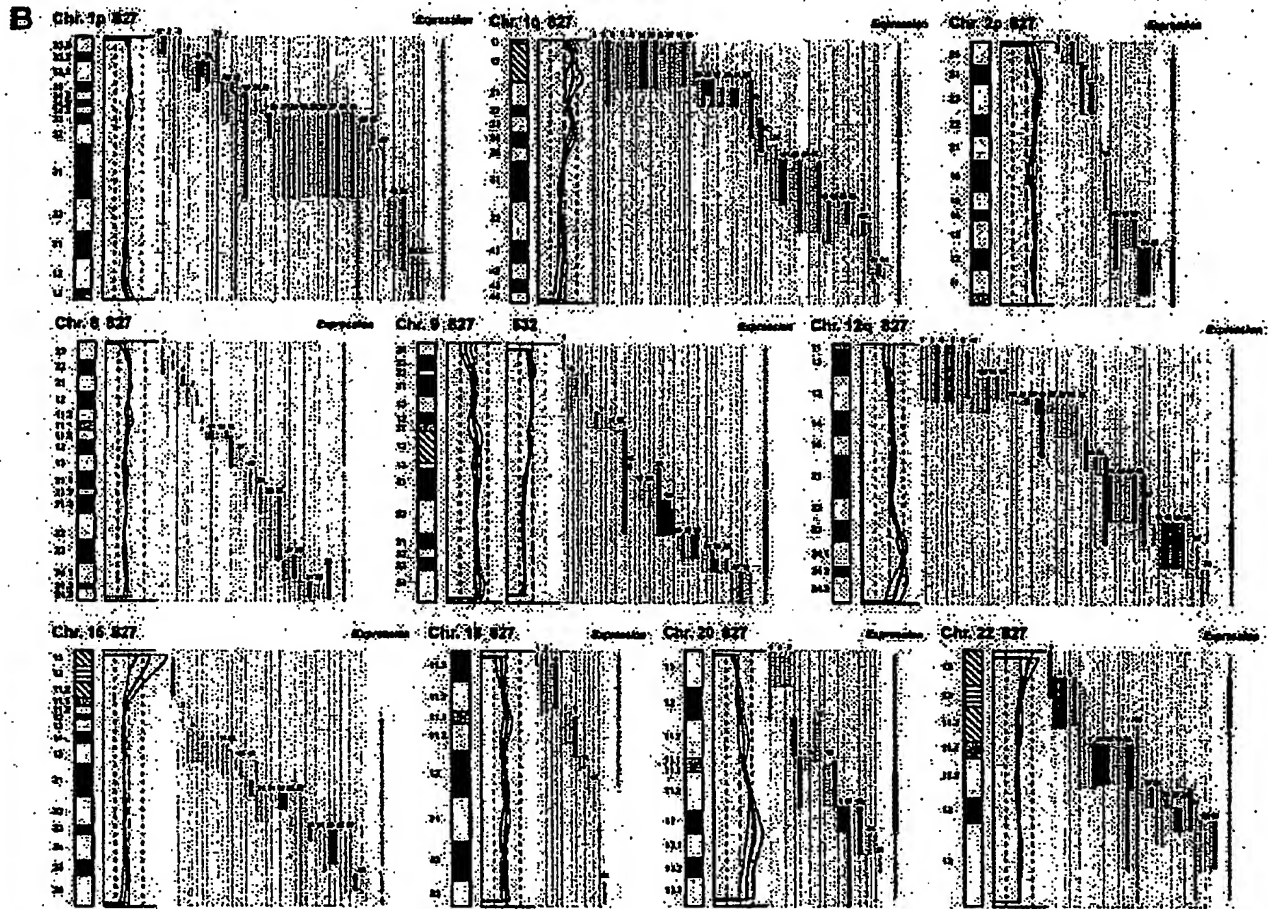


FIG. 1—continued

for 30 min at 25 °C followed by 10 washes in 6× SSPE-T at 25 °C. The probe arrays were scanned at 560 nm using a confocal laser scanning microscope (made for Affymetrix by Hewlett-Packard). The readings from the quantitative scanning were analyzed by Affymetrix gene expression analysis software.

**Microsatellite Analysis**—Microsatellite Analysis was performed as described previously (14). Microsatellites were selected by use of [www.ncbi.nlm.nih.gov/genemap98](http://www.ncbi.nlm.nih.gov/genemap98), and primer sequences were obtained from the genome data base at [www.gdb.org](http://www.gdb.org). DNA was extracted from tumor and blood and amplified by PCR in a volume of 20  $\mu$ l for 35 cycles. The amplicons were denatured and electrophoresed for 3 h in an ABI Prism 377. Data were collected in the Gene Scan program for fragment analysis. Loss of heterozygosity was defined as less than 33% of one allele detected in tumor amplicons compared with blood.

**Proteomic Analysis**—TCCs were minced into small pieces and homogenized in a small glass homogenizer in 0.5 ml of lysis solution. Samples were stored at -20 °C until use. The procedure for 2D gel electrophoresis has been described in detail elsewhere (15, 16). Gels were stained with silver nitrate and/or Coomassie Brilliant Blue. Proteins were identified by a combination of procedures that included microsequencing, mass spectrometry, two-dimensional gel Western immunoblotting, and comparison with the master two-dimensional gel image of human keratinocyte proteins; see [biobase.dk/cgi-bin/cells](http://biobase.dk/cgi-bin/cells).

**CGH**—Hybridization of differentially labeled tumor and normal DNA to normal metaphase chromosomes was performed as described previously (10). Fluorescein-labeled tumor DNA (200 ng), Texas Red-

labeled reference DNA (200 ng), and human Cot-1 DNA (20  $\mu$ g) were denatured at 37 °C for 5 min and applied to denatured normal metaphase slides. Hybridization was at 37 °C for 2 days. After washing, the slides were counterstained with 0.15  $\mu$ g/ml 4,6-diamidino-2-phenylindole in an anti-fade solution. A second hybridization was performed for all tumor samples using fluorescein-labeled reference DNA and Texas Red-labeled tumor DNA (inverse labeling) to confirm the aberrations detected during the initial hybridization. Each CGH experiment also included a normal control hybridization using fluorescein- and Texas Red-labeled normal DNA. Digital image analysis was used to identify chromosomal regions with abnormal fluorescence ratios, indicating regions of DNA gains and losses. The average green:red fluorescence intensity ratio profiles were calculated using four images of each chromosome (eight chromosomes total) with normalization of the green:red fluorescence intensity ratio for the entire metaphase and background correction. Chromosome identification was performed based on 4,6-diamidino-2-phenylindole banding patterns. Only images showing uniform high intensity fluorescence with minimal background staining were analyzed. All centromeres, p arms of acrocentric chromosomes, and heterochromatic regions were excluded from the analysis.

## RESULTS

**Comparative Genomic Hybridization**—The CGH analysis identified a number of chromosomal gains and losses in the



## Gene Copy Numbers, Transcripts, and Protein Levels

TABLE I  
Correlation between alterations detected by CGH and by expression monitoring

Top, CGH used as independent variable (if CGH alteration – what expression ratio was found); bottom, altered expression used as independent variable (if expression alteration – what CGH deviation was found).

CGH alterations	Tumor 733 vs. 335		Concordance	CGH alterations	Tumor 827 vs. 532		Concordance
	Expression change clusters				Expression change clusters		
13 Gain	10 Up-regulation		77%	10 Gain	8 Up-regulation		80%
	0 Down-regulation				0 Down-regulation		
	3 No change				2 No change		
10 Loss	1 Up-regulation		50%	12 Loss	3 Up-regulation		17%
	5 Down-regulation				2 Down-regulation		
	4 No change				7 No change		
Expression change clusters	Tumor 733 vs. 335		Concordance	Expression change clusters	Tumor 827 vs. 532		Concordance
	CGH alterations				CGH alterations		
16 Up-regulation	11 Gain		69%	17 Up-regulation	10 Gain		59%
	2 Loss				5 Loss		
	3 No change				2 No change		
21 Down-regulation	1 Gain		38%	9 Down-regulation	0 Gain		33%
	8 Loss				3 Loss		
	12 No change				6 No change		
15 No change	3 Gain		60%	21 No change	1 Gain		81%
	3 Loss				3 Loss		
	9 No change				17 No change		

two invasive tumors (stage pT1, TCCs 733 and 827), whereas the two non-invasive papillomas (stage pTa, TCCs 335 and 532) showed only 9p-, 9q22-q33-, and X-, and 7+, 9q-, and Y-, respectively. Both invasive tumors showed changes (1q22-24+, 2q14.1-qter-, 3q12-q13.3-, 6q12-q22-, 9q34+, 11q12-q13+, 17+, and 20q11.2-q12+) that are typical for their disease stage, as well as additional alterations, some of which are shown in Fig. 1. Areas with gains and losses deviated from the normal copy number to some extent, and the average numerical deviation from normal was 0.4-fold in the case of TCC 733 and 0.3-fold for TCC 827. The largest changes, amounting to at least a doubling of chromosomal content, were observed at 1q23 in TCC 733 (Fig. 1A) and 20q12 in TCC 827 (Fig. 1B).

**mRNA Expression in Relation to DNA Copy Number**—The mRNA levels from the two invasive tumors (TCCs 827 and 733) were compared with the two non-invasive counterparts (TCCs 532 and 335). This was done in two separate experiments in which we compared TCCs 733 to 335 and 827 to 532, respectively, using two different scaling settings for the arrays to rule out scaling as a confounding parameter. Approximately 1,800 genes that yielded a signal on the arrays were searched in the Unigene and Genemap data bases for chromosomal location, and those with a known location (1096) were plotted as bars covering their purported locus. In that way it was possible to construct a graphic presentation of DNA copy number and relative mRNA levels along the individual chromosomes (Fig. 1).

For each mRNA a ratio was calculated between the level in the invasive versus the non-invasive counterpart. Bars, which represent chromosomal location of a gene, were color-coded according to the expression ratio, and only differences larger

than 2-fold were regarded as informative (Fig. 1). The density of genes along the chromosomes varied, and areas containing only one gene were excluded from the calculations. The resolution of the CGH method is very low, and some of the outlier data may be because of the fact that the boundaries of the chromosomal aberrations are not known at high resolution.

Two sets of calculations were made from the data. For the first set we used CGH alterations as the independent variable and estimated the frequency of expression alterations in these chromosomal areas. In general, areas with a strong gain of chromosomal material contained a cluster of genes having increased mRNA expression. For example, both chromosomes 1q21-q25, 2p and 9q, showed a relative gain of more than 100% in DNA copy number that was accompanied by increased mRNA expression levels in the two tumor pairs (Fig. 1). In most cases, chromosomal gains detected by CGH were accompanied by an increased level of transcripts in both TCCs 733 (77%) and 827 (80%) (Table I, top). Chromosomal losses, on the other hand, were not accompanied by decreased expression in several cases, and were often registered as having unaltered RNA levels (Table I, top). The inability to detect RNA expression changes in these cases was not because of fewer genes mapping to the lost regions (data not shown).

In the second set of calculations we selected expression alterations above 2-fold as the independent variable and estimated the frequency of CGH alterations in these areas. As above, we found that increased transcript expression correlated with gain of chromosomal material (TCC 733, 69% and TCC 827, 59%), whereas reduced expression was often detected in areas with unaltered CGH ratios (Table I, bottom). Furthermore, as a control we looked at areas with no alter-

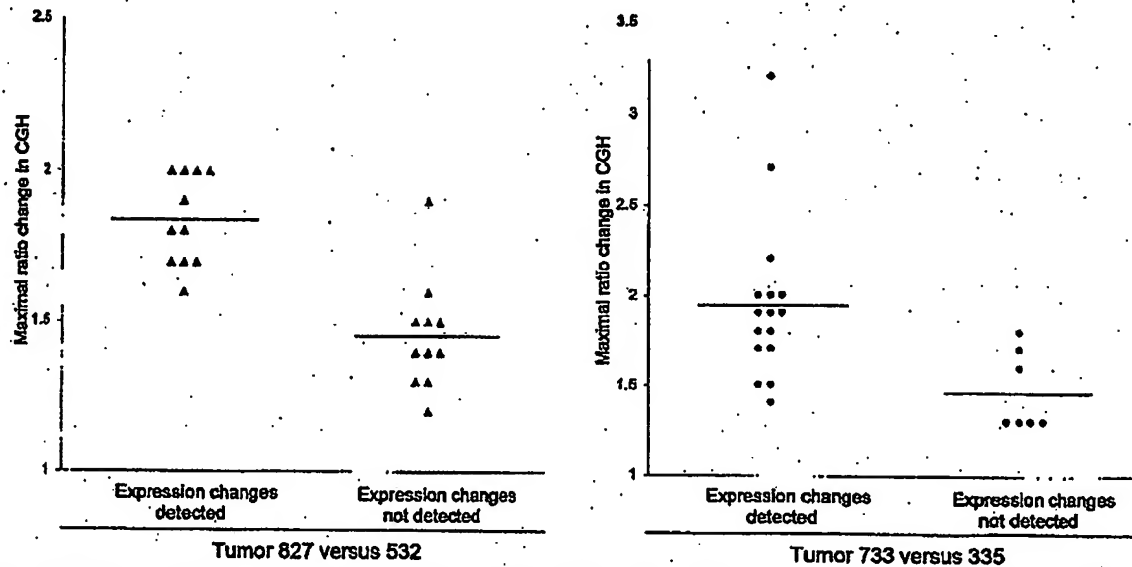


Fig. 2. Correlation between maximum CGH aberration and the ability to detect expression change by oligonucleotide array monitoring. The aberration is shown as a numerical -fold change in ratio between invasive tumors 827 (▲) and 733 (◆) and their non-invasive counterparts 532 and 335. The expression change was taken from the *Expression* line to the right in Fig. 1, which depicts the resulting expression change for a given chromosomal region. At least half of the mRNAs from a given region have to be either up- or down-regulated to be scored as an expression change. All chromosomal arms in which the CGH ratio plus or minus one standard deviation was outside the ratio value of one were included.

ation in expression. No alteration was detected by CGH in most of these areas (TCC 733, 60% and TCC 827, 81%; see Table I, bottom). Because the ability to observe reduced or increased mRNA expression clustering to a certain chromosomal area clearly reflected the extent of copy number changes, we plotted the maximum CGH aberrations in the regions showing CGH changes against the ability to detect a change in mRNA expression as monitored by the oligonucleotide arrays (Fig. 2). For both tumors TCC 733 ( $p < 0.015$ ) and TCC 827 ( $p < 0.00003$ ), a highly significant correlation was observed between the level of CGH ratio change (reflecting the DNA copy number) and alterations detected by the array based technology (Fig. 2). Similar data were obtained when areas with altered expression were used as independent variables. These areas correlated best with CGH when the CGH ratio deviated 1.6- to 2.0-fold (Table I, bottom) but mostly did not at lower CGH deviations. These data probably reflect that loss of an allele may only lead to a 50% reduction in expression level, which is at the cut-off point for detection of expression alterations. Gain of chromosomal material can occur to a much larger extent.

**Microsatellite-based Detection of Minor Areas of Losses**—In TCC 733, several chromosomal areas exhibiting DNA amplification were preceded or followed by areas with a normal CGH but reduced mRNA expression (see Fig. 1, TCC 733 chromosome 1q32, 2p21, and 7q21 and q32, 9q34, and 10q22). To determine whether these results were because of undetected loss of chromosomal material in these regions or

because of other non-structural mechanisms regulating transcription, we examined two microsatellites positioned at chromosome 1q25–32 and two at chromosome 2p22. Loss of heterozygosity (LOH) was found at both 1q25 and at 2p22 indicating that minor deleted areas were not detected with the resolution of CGH (Fig. 3). Additionally, chromosome 2p in TCC 733 showed a CGH pattern of gain/no change/gain of DNA that correlated with transcript increase/decrease/increase. Thus, for the areas showing increased expression there was a correlation with the DNA copy number alterations (Fig. 1A). As indicated above, the mRNA decrease observed in the middle of the chromosomal gain was because of LOH, implying that one of the mechanisms for mRNA down-regulation may be regions that have undergone smaller losses of chromosomal material. However, this cannot be detected with the resolution of the CGH method.

In both TCC 733 and TCC 827, the telomeric end of chromosome 11p showed a normal ratio in the CGH analysis; however, clusters of five and three genes, respectively, lost their expression. Two microsatellites (D11S1760, D11S922) positioned close to MUC2, IGF2, and cathepsin D indicated LOH as the most likely mechanism behind the loss of expression (data not shown).

A reduced expression of mRNA observed in TCC 733 at chromosomes 3q24, 11p11, 12p12.2, 12q21.1, and 16q24 and in TCC 827 at chromosome 11p15.5, 12p11, 15q11.2, and 18q12 was also examined for chromosomal losses using microsatellites positioned as close as possible to the gene loci



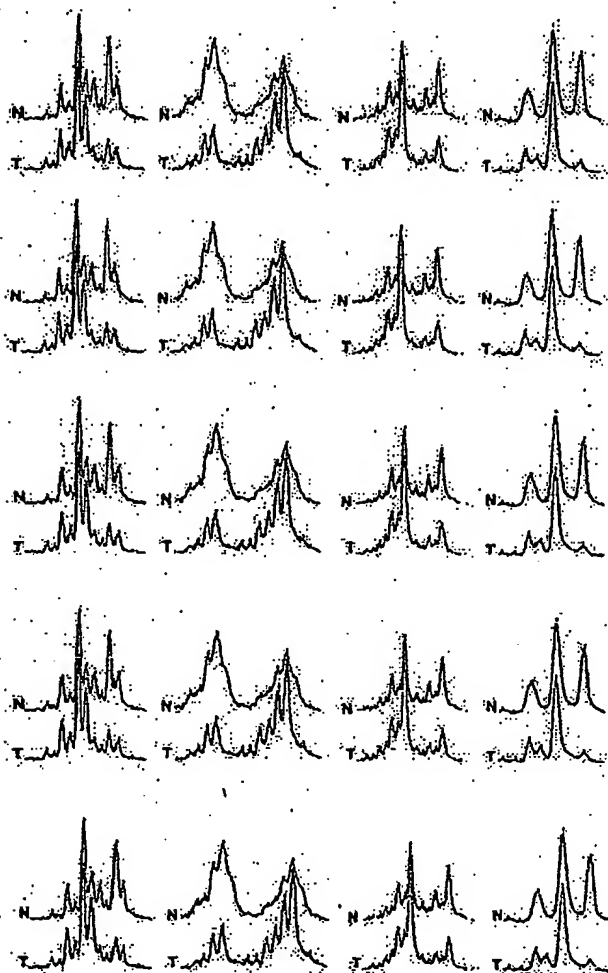


Fig. 3. Microsatellite analysis of loss of heterozygosity. Tumor 733 showing loss of heterozygosity at chromosome 1q25, detected (a) by D1S215 close to Hu class I histocompatibility antigen (gene number 38 in Fig. 1), (b) by D1S2735 close to cathepsin E (gene number 41 in Fig. 1), and (c) at chromosome 2p23 by D2S2251 close to general  $\beta$ -spectrin (gene number 11 on Fig. 1) and of (d) tumor 827 showing loss of heterozygosity at chromosome 18q12 by S18S1118 close to mitochondrial 3-oxoacyl-coenzyme A thiolase (gene number 12 in Fig. 1). The upper curves show the electropherogram obtained from normal DNA from leukocytes (N), and the lower curves show the electropherogram from tumor DNA (T). In all cases one allele is partially lost in the tumor amplicon.

showing reduced mRNA transcripts. Only the microsatellite positioned at 18q12 showed LOH (Fig. 3), suggesting that transcriptional down-regulation of genes in the other regions may be controlled by other mechanisms.

**Relation between Changes in mRNA and Protein Levels—**2D-PAGE analysis, in combination with Coomassie Brilliant Blue and/or silver staining, was carried out on all four tumors using fresh biopsy material. 40 well resolved abundant known proteins migrating in areas away from the edges of the pH

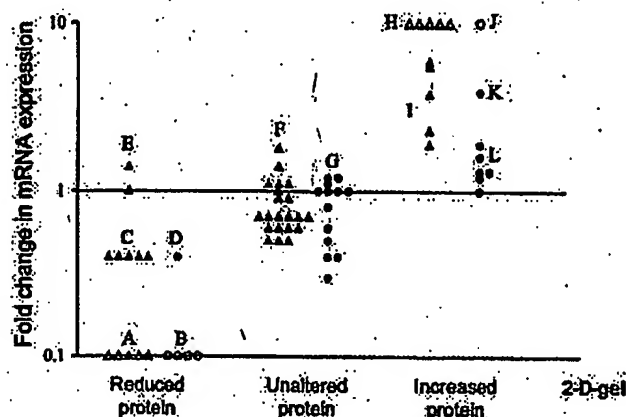


Fig. 4. Correlation between protein levels as judged by 2D-PAGE and transcript ratio. For comparison proteins were divided in three groups, unaltered in level or up- or down-regulated (horizontal axis). The mRNA ratio as determined by oligonucleotide arrays was plotted for each gene (vertical axis). ▲, mRNAs that were scored as present in both tumors used for the ratio calculation; △, mRNAs that were scored as absent in the invasive tumors (along horizontal axis) or as absent in non-invasive reference (top of figure). Two different scalings were used to exclude scaling as a confounder, TCCs 827 and 532 (▲) were scaled with background suppression, and TCCs 733 and 335 (●) were scaled without suppression. Both comparisons showed highly significant ( $p < 0.005$ ) differences in mRNA ratios between the groups. Proteins shown were as follows: Group A (from left), phosphoglucosylase 1, glutathione transferase  $\mu$  number 4, fatty acid-binding protein homologue, cytochrome 15, and cytochrome 13; B (from left), fatty acid-binding protein homologue, 28-kDa heat shock protein, cytochrome 13, and calnexin; C (from left),  $\alpha$ -enolase, hnRNP B1, 28-kDa heat shock protein, 14-3-3- $\epsilon$ , and pre-mRNA splicing factor; D, mesothelial keratin K7 (type II); E (from top), glutathione S-transferase- $\pi$  and mesothelial keratin K7 (type II); F (from top and left), adenyl cyclase-associated protein, E-cadherin, keratin 19, calgizzarin, phosphoglycerate mutase, annexin IV, cytoskeletal  $\gamma$ -actin, hnRNP A1, integral membrane protein calnexin (IP80), hnRNP H, brain-type clathrin light chain- $\alpha$ , hnRNP F, 70-kDa heat shock protein, heterogeneous nuclear ribonucleoprotein A/B, translationally controlled tumor protein, liver glyceraldehyde-3-phosphate dehydrogenase, keratin 8, aldehyde reductase, and Na,K-ATPase  $\beta$ -1 subunit; G, (from top and left), TCP20, calgizzarin, 70-kDa heat shock protein, calnexin, hnRNP H, cytochrome 15, ATP synthase, keratin 19, triosephosphate isomerase, hnRNP F, liver glyceraldehyde-3-phosphate dehydrogenase, glutathione S-transferase- $\pi$ , and keratin 8; H (from left), plasma gelsolin, autoantigen calreticulin, thioredoxin, and NAD $^{+}$ -dependent 15 hydroxyprostaglandin dehydrogenase; I (from top), prollyl 4-hydroxylase  $\beta$ -subunit, cytochrome 20, cytochrome 17, prohibitin, and fructose 1,6-bisphosphatase; J annexin II; K, annexin IV; L (from top and left), 90-kDa heat shock protein, prollyl 4-hydroxylase  $\beta$ -subunit,  $\alpha$ -enolase, GRP 78, cyclophilin, and cofilin.

gradient, and having a known chromosomal location, were selected for analysis in the TCC pair 827/532. Proteins were identified by a combination of methods (see "Experimental Procedures"). In general there was a highly significant correlation ( $p < 0.005$ ) between mRNA and protein alterations (Fig. 4). Only one gene showed disagreement between transcript alteration and protein alteration. Except for a group of cyto-

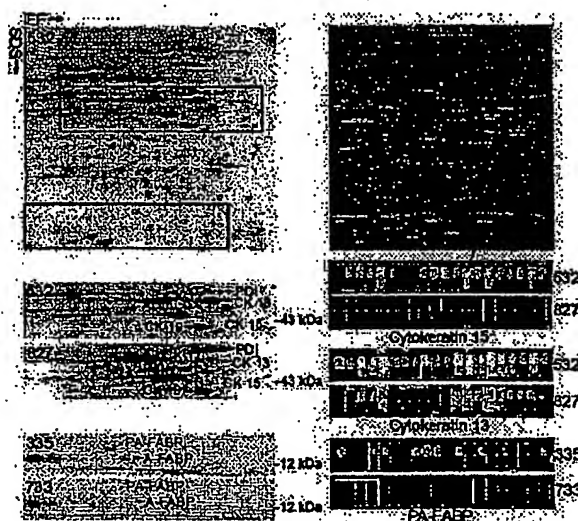


Fig. 5. Comparison of protein and transcript levels in invasive and non-invasive TCCs. The upper part of the figure shows a 2D gel (left) and the oligonucleotide array (right) of TCC 532. The red rectangles on the upper gel highlight the areas that are compared below. Identical areas of 2D gels of TCCs 532 and 827 are shown below. Clearly, cytokeratins 13 and 15 are strongly down-regulated in TCC 827 (red annotation). The tile on the array containing probes for cytokeratin 15 is enlarged below the array (red arrow) from TCC 532 and is compared with TCC 827. The upper row of squares in each tile corresponds to perfect match probes; the lower row corresponds to mismatch probes containing a mutation (used for correction for unspecific binding). Absence of signal is depicted as black, and the higher the signal the lighter the color. A high transcript level was detected in TCC 532 (6151 units) whereas a much lower level was detected in TCC 827 (absence of signals). For cytokeratin 13, a high transcript level was also present in TCC 532 (15659 units), and a much lower level was present in TCC 827 (623 units). The 2D gels at the bottom of the figure (left) show levels of PA-FABP and adipocyte-FABP in TCCs 335 and 733 (invasive), respectively. Both proteins are down-regulated in the invasive tumor. To the right we show the array tiles for the PA-FABP transcript. A medium transcript level was detected in the case of TCC 335 (1277 units) whereas very low levels were detected in TCC 733 (166 units). IEF, isoelectric focusing.

keratins encoded by genes on chromosome 17 (Fig. 5) the analyzed proteins did not belong to a particular family. 26 well focused proteins whose genes had a known chromosomal location were detected in TCCs 733 and 335, and of these 19 correlated ( $p < 0.005$ ) with the mRNA changes detected using the arrays (Fig. 4). For example, PA-FABP was highly expressed in the non-invasive TCC 335 but lost in the invasive counterpart (TCC 733; see Fig. 5). The smaller number of proteins detected in both 733 and 335 was because of the smaller size of the biopsies that were available.

11 chromosomal regions where CGH showed aberrations that corresponded to the changes in transcript levels also showed corresponding changes in the protein level (Table II). These regions included genes that encode proteins that are found to be frequently altered in bladder cancer, namely cytokeratins 17 and 20, annexins II and IV, and the fatty acid-binding proteins PA-FABP and FABP1. Four of these proteins were encoded by genes in chromosome 17q, a frequently amplified chromosomal area in invasive bladder cancers.

#### DISCUSSION

Most human cancers have abnormal DNA content, having lost some chromosomal parts and gained others. The present study provides some evidence as to the effect of these gains and losses on gene expression in two pairs of non-invasive and invasive TCCs using high throughput expression arrays and proteomics, in combination with CGH. In general, the results showed that there is a clear individual regulation of the mRNA expression of single genes, which in some cases was superimposed by a DNA copy number effect. In most cases, genes located in chromosomal areas with gains often exhibited increased mRNA expression, whereas areas showing losses showed either no change or a reduced mRNA expression. The latter might be because of the fact that losses most often are restricted to loss of one allele, and the cut-off point for detection of expression alterations was a 2-fold change, thus being at the border of detection. In several cases, how-

TABLE II  
Proteins whose expression level correlates with both mRNA and gene dose changes

Protein	Chromosomal location	Tumor TCC	CGH alteration	Transcript alteration <sup>a</sup>	Protein alteration
Annexin II	1q21	733	Gain	Abs to Pres <sup>a</sup>	Increase
Annexin IV	2p13	733	Gain	3.9-Fold up	Increase
Cytokeratin 17	17q12-q21	827	Gain	3.8-Fold up	Increase
Cytokeratin 20	17q21.1	827	Gain	5.6-Fold up	Increase
(PA-)FABP	8q21.2	827	Loss	10-Fold down	Decrease
FABP1	9q22	827	Gain	2.3-Fold up	Increase
Plasma gelsolin	9q31	827	Gain	Abs to Pres	Increase
Heat shock protein 28	15q12-q13	827	Loss	2.5-Fold up	Decrease
Prohibitin	17q21	827/733	Gain	3.7-/2.5-Fold up <sup>b</sup>	Increase
Prolyl-4-hydroxyl	17q25	827/733	Gain	5.7-/1.8-Fold up	Increase
hnRNPB1	7p15	827	Loss	2.5-Fold down	Decrease

<sup>a</sup> Abs, absent; Pres, present.

<sup>b</sup> In cases where the corresponding alterations were found in both TCCs 827 and 733 these are shown as 827/733.

ever, an increase or decrease in DNA copy number was associated with *de novo* occurrence or complete loss of transcript, respectively. Some of these transcripts could not be detected in the non-invasive tumor but were present at relatively high levels in areas with DNA amplifications in the invasive tumors (e.g. in TCC 733 transcript from cellular ligand of annexin II gene (chromosome 1q21) from absent to 2670 arbitrary units; in TCC 827 transcript from small proline-rich protein 1 gene (chromosome 1q12-q21.1) from absent to 1326 arbitrary units). It may be anticipated from these data that significant clustering of genes with an increased expression to a certain chromosomal area indicates an increased likelihood of gain of chromosomal material in this area.

Considering the many possible regulatory mechanisms acting at the level of transcription, it seems striking that the gene dose effects were so clearly detectable in gained areas. One hypothetical explanation may lie in the loss of controlled methylation in tumor cells (17–19). Thus, it may be possible that in chromosomes with increased DNA copy numbers two or more alleles could be demethylated simultaneously leading to a higher transcription level, whereas in chromosomes with losses the remaining allele could be partly methylated, turning off the process (20, 21). A recent report has documented a ploidy regulation of gene expression in yeast, but in this case all the genes were present in the same ratio (22), a situation that is not analogous to that of cancer cells, which show marked chromosomal aberrations, as well as gene dosage effects.

Several CGH studies of bladder cancer have shown that some chromosomal aberrations are common at certain stages of disease progression, often occurring in more than 1 of 3 tumors. In pTa tumors, these include 9p–, 9q–, 1q+, Y– (2, 6), and in pT1 tumors, 2q–, 11p–, 11q–, 1q+, 5p+, 8q+, 17q+, and 20q+ (2–4, 6, 7). The pTa tumors studied here showed similar aberrations such as 9p– and 9q22–q33– and 9q– and Y–, respectively. Likewise, the two minimal invasive pT1 tumors showed aberrations that are commonly seen at that stage, and TCC 827 had a remarkable resemblance to the commonly seen pattern of losses and gains, such as 1q22–24 amplification (seen in both tumors), 11q14–q22 loss, the latter often linked to 17q+ (both tumors), and 1q+ and 9p–, often linked to 20q+ and 11q13+ (both tumors) (7–9). These observations indicate that the pairs of tumors used in this study exhibit chromosomal changes observed in many tumors, and therefore the findings could be of general importance for bladder cancer.

Considering that the mapping resolution of CGH is of about 20 megabases it is only possible to get a crude picture of chromosomal instability using this technique. Occasionally, we observed reduced transcript levels close to or inside regions with increased copy numbers. Analysis of these regions by positioning heterozygous microsatellites as close as possible to the locus showing reduced gene expression revealed loss of heterozygosity in several cases. It seems likely that multiple and different events occur along each chromosomal

arm and that the use of cDNA microarrays for analysis of DNA copy number changes will reach a resolution that can resolve these changes, as has recently been proposed (2). The outlier data were not more frequent at the boundaries of the CGH aberrations. At present we do not know the mechanism behind chromosomal aneuploidy and cannot predict whether chromosomal gains will be transcribed to a larger extent than the two native alleles. A mechanism as genetic imprinting has an impact on the expression level in normal cells and is often reduced in tumors. However, the relation between imprinting and gain of chromosomal material is not known.

We regard it as a strength of this investigation that we were able to compare invasive tumors to benign tumors rather than to normal urothelium, as the tumors studied were biologically very close and probably may represent successive steps in the progression of bladder cancer. Despite the limited amount of fresh tissue available it was possible to apply three different state of the art methods. The observed correlation between DNA copy number and mRNA expression is remarkable when one considers that different pieces of the tumor biopsies were used for the different sets of experiments. This indicates that bladder tumors are relatively homogenous, a notion recently supported by CGH and LOH data that showed a remarkable similarity even between tumors and distant metastasis (10, 23).

In the few cases analyzed, mRNA and protein levels showed a striking correspondence although in some cases we found discrepancies that may be attributed to translational regulation, post-translational processing, protein degradation, or a combination of these. Some transcripts belong to undertranslated mRNA pools, which are associated with few translationally inactive ribosomes; these pools, however, seem to be rare (24). Protein degradation, for example, may be very important in the case of polypeptides with a short half-life (e.g. signaling proteins). A poor correlation between mRNA and protein levels was found in liver cells as determined by arrays and 2D-PAGE (25), and a moderate correlation was recently reported by Ideker *et al.* (26) in yeast.

Interestingly, our study revealed a much better correlation between gained chromosomal areas and increased mRNA levels than between loss of chromosomal areas and reduced mRNA levels. In general, the level of CGH change determined the ability to detect a change in transcript. One possible explanation could be that by losing one allele the change in mRNA level is not so dramatic as compared with gain of material, which can be rather unlimited and may lead to a severalfold increase in gene copy number resulting in a much higher impact on transcript level. The latter would be much easier to detect on the expression arrays as the cut-off point was placed at a 2-fold level so as not to be biased by noise on the array. Construction of arrays with a better signal to noise ratio may in the future allow detection of lesser than 2-fold alterations in transcript levels, a feature that may facilitate the analysis of the effect of loss of chromosomal areas on transcript levels.

In eleven cases we found a significant correlation between DNA copy number, mRNA expression, and protein level. Four of these proteins were encoded by genes located at a frequently amplified area in chromosome 17q. Whether DNA copy number is one of the mechanisms behind alteration of these eleven proteins is at present unknown and will have to be proved by other methods using a larger number of samples. One factor making such studies complicated is the large extent of protein modification that occurs after translation, requiring immunoidentification and/or mass spectrometry to correctly identify the proteins in the gels.

In conclusion, the results presented in this study exemplify the large body of knowledge that may be possible to gather in the future by combining state of the art techniques that follow the pathway from DNA to protein (26). Here, we used a traditional chromosomal CGH method, but in the future high resolution CGH based on microarrays with many thousand radiation hybrid-mapped genes will increase the resolution and information derived from these types of experiments (2). Combined with expression arrays analyzing transcripts derived from genes with known locations, and 2D gel analysis to obtain information at the post-translational level, a clearer and more developed understanding of the tumor genome will be forthcoming.

**Acknowledgments**—We thank Mie Madsen, Hanne Steen, Inge Lis Thorsen, Hans Lund, Vikolaj Ørntoft, and Lynn Bjerke for technical help and Thomas Gingeras, Christine Harrington, and Morten Østergaard for valuable discussions.

\* This work was supported by grants from The Danish Cancer Society, the University of Aarhus, Aarhus County, Novo Nordic, the Danish Biotechnology Program, the Frenkels Foundation, the John and Birthe Meyer Foundation, and NCI, National Institutes of Health Grant CA47537. The costs of publication of this article were defrayed in part by the payment of page charges. This article must therefore be hereby marked "advertisement" in accordance with 18 U.S.C. Section 1734 solely to indicate this fact.

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[CANCER RESEARCH 62, 6240-6245, November 1, 2002]

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## ABSTRACT

Genetic changes underlie tumor progression and may lead to cancer-specific expression of critical genes. Over 1100 publications have described the use of comparative genomic hybridization (CGH) to analyze the pattern of copy number alterations in cancer, but very few of the genes affected are known. Here, we performed high-resolution CGH analysis on cDNA microarrays in breast cancer and directly compared copy number and mRNA expression levels of 13,824 genes to quantitate the impact of genomic changes on gene expression. We identified and mapped the boundaries of 24 independent amplicons, ranging in size from 0.2 to 12 Mb. Throughout the genome, both high- and low-level copy number changes had a substantial impact on gene expression, with 44% of the highly amplified genes showing overexpression and 10.5% of the highly overexpressed genes being amplified. Statistical analysis with random permutation tests identified 270 genes whose expression levels across 14 samples were systematically attributable to gene amplification. These included most previously described amplified genes in breast cancer and many novel targets for genomic alterations, including the *HOXB7* gene, the presence of which in a novel amplicon at 17q21.3 was validated in 10.2% of primary breast cancers and associated with poor patient prognosis. In conclusion, CGH on cDNA microarrays revealed hundreds of novel genes whose overexpression is attributable to gene amplification. These genes may provide insights to the clonal evolution and progression of breast cancer and highlight promising therapeutic targets.

## INTRODUCTION

Gene expression patterns revealed by cDNA microarrays have facilitated classification of cancers into biologically distinct categories, some of which may explain the clinical behavior of the tumors (1-6). Despite this progress in diagnostic classification, the molecular mechanisms underlying gene expression patterns in cancer have remained elusive, and the utility of gene expression profiling in the identification of specific therapeutic targets remains limited.

Accumulation of genetic defects is thought to underlie the clonal evolution of cancer. Identification of the genes that mediate the effects of genetic changes may be important by highlighting transcripts that are actively involved in tumor progression. Such transcripts and their encoded proteins would be ideal targets for anticancer therapies, as demonstrated by the clinical success of new therapies against amplified oncogenes, such as *ERBB2* and *EGFR* (7, 8), in breast cancer and other solid tumors. Besides amplifications of known oncogenes, over

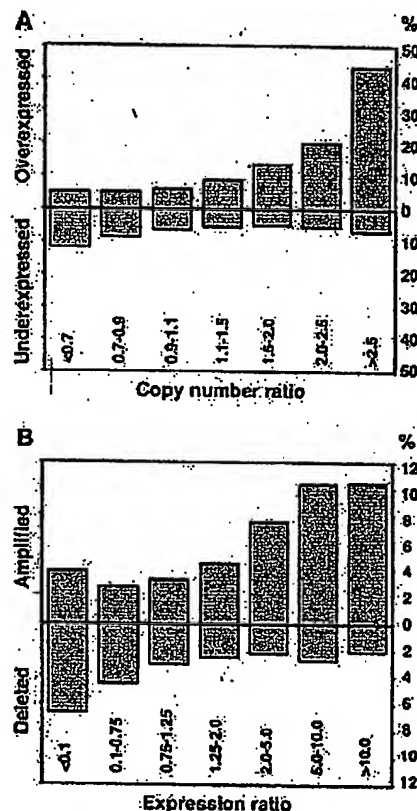


Fig. 1. Impact of gene copy number on global gene expression levels. A, percentage of over- and underexpressed genes (Y axis) according to copy number ratios (X axis). Threshold values used for over- and underexpression were  $>2.184$  (global upper 7% of the cDNA ratios) and  $<0.4826$  (global lower 7% of the expression ratios). B, percentage of amplified and deleted genes according to expression ratios. Threshold values for amplification and deletion were  $>1.5$  and  $<0.7$ .

20 recurrent regions of DNA amplification have been mapped in breast cancer by CGH<sup>5</sup> (9, 10). However, these amplicons are often large and poorly defined, and their impact on gene expression remains unknown.

We hypothesized that genome-wide identification of those gene expression changes that are attributable to underlying gene copy number alterations would highlight transcripts that are actively involved in the causation or maintenance of the malignant phenotype. To identify such transcripts, we applied a combination of cDNA and CGH microarrays to: (a) determine the global impact that gene copy number variation plays in breast cancer development and progression; and (b) identify and characterize those genes whose mRNA expres-

Received 5/29/02; accepted 8/28/02.

The costs of publication of this article were defrayed in part by the payment of page charges. This article must therefore be hereby marked advertisement in accordance with 18 U.S.C. Section 1734 solely to indicate this fact.

<sup>1</sup> Supported in part by the Academy of Finland, Emil Aaltonen Foundation, the Finnish Cancer Society, the Pirkanmaa Cancer Society, the Pirkanmaa Cultural Foundation, the Finnish Breast Cancer Group, the Foundation for the Development of Laboratory Medicine, the Medical Research Fund of the Tampere University Hospital, the Foundation for Commercial and Technical Sciences, and the Swedish Research Council.

<sup>2</sup> Supplementary data for this article are available at Cancer Research Online (<http://cancerres.aacrjournals.org>).

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<sup>5</sup> The abbreviations used are: CGH, comparative genomic hybridization; FISH, fluorescence *in situ* hybridization; RT-PCR, reverse transcription-PCR.



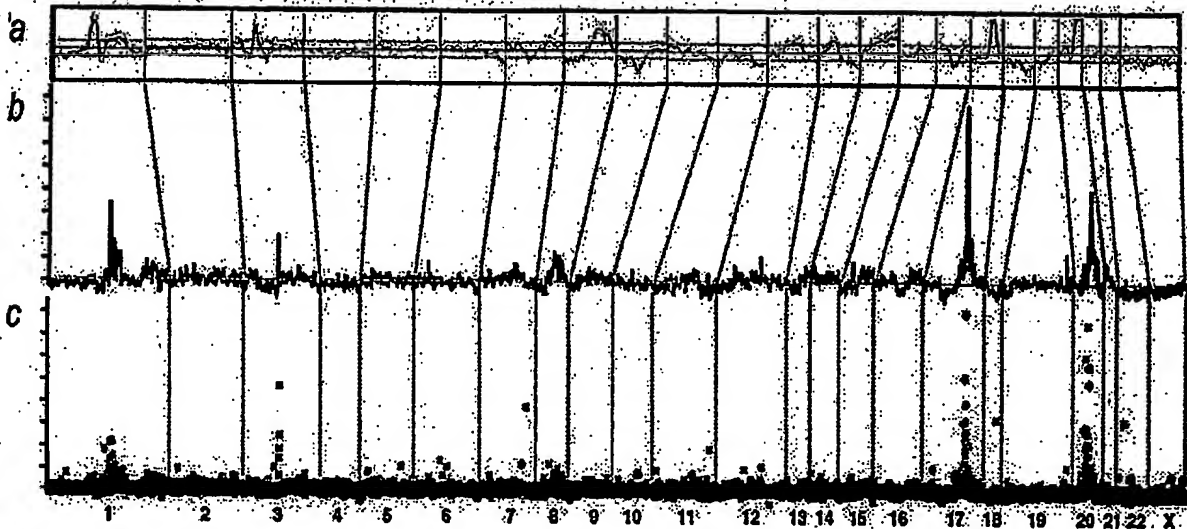


Fig. 2. Genome-wide copy number and expression analysis in the MCF-7 breast cancer cell line. *A*, chromosomal CGH analysis of MCF-7. The copy number ratio profile (blue line) across the entire genome from 1p telomere to Xq telomere is shown along with  $\pm 1$  SD (orange lines). The black horizontal line indicates a ratio of 1.0; red line, a ratio of 0.8; and green line, a ratio of 1.2. *B-C*, genome-wide copy number analysis in MCF-7 by CGH on cDNA microarray. The copy number ratios were plotted as a function of the position of the cDNA clones along the human genome. In *B*, individual data points are connected with a line, and a moving median of 10 adjacent clones is shown. Red horizontal line, the copy number ratio of 1.0. In *C*, individual data points are labeled by color coding according to cDNA expression ratios. The bright red dots indicate the upper 2%, and dark red dots, the next 5% of the expression ratios in MCF-7 cells (overexpressed genes); bright green dots indicate the lowest 2%, and dark green dots, the next 5% of the expression ratios (underexpressed genes); the rest of the observations are shown with black crosses. The chromosome numbers are shown at the bottom of the figure, and chromosome boundaries are indicated with a dashed line.

sion is most significantly associated with amplification of the corresponding genomic template.

## MATERIALS AND METHODS

**Breast Cancer Cell Lines.** Fourteen breast cancer cell lines (BT-20, BT-474, HCC1428, Hs578t, MCF7, MDA-361, MDA-436, MDA-453, MDA-468, SKBR-3, T-47D, UACC812, ZR-75-1, and ZR-75-30) were obtained from the American Type Culture Collection (Manassas, VA). Cells were grown under recommended culture conditions. Genomic DNA and mRNA were isolated using standard protocols.

**Copy Number and Expression Analyses by cDNA Microarrays.** The preparation and printing of the 13,824 cDNA clones on glass slides were performed as described (11–13). Of these clones, 244 represented uncharacterized expressed sequence tags, and the remainder corresponded to known genes. CGH experiments on cDNA microarrays were done as described (14, 15). Briefly, 20  $\mu$ g of genomic DNA from breast cancer cell lines and normal human WBCs were digested for 14–18 h with *AluI* and *RsaI* (Life Technologies, Inc., Rockville, MD) and purified by phenol/chloroform extraction. Six  $\mu$ g of digested cell line DNAs were labeled with Cy3-dUTP (Amersham Pharmacia) and normal DNA with Cy5-dUTP (Amersham Pharmacia) using the Bioprime Labeling kit (Life Technologies, Inc.). Hybridization (14, 15) and posthybridization washes (13) were done as described. For the expression analyses, a standard reference (Universal Human Reference RNA; Stratagene, La Jolla, CA) was used in all experiments. Forty  $\mu$ g of reference RNA were labeled with Cy3-dUTP and 3.5  $\mu$ g of test mRNA with Cy5-dUTP, and the labeled cDNAs were hybridized on microarrays as described (13, 15). For both microarray analyses, a laser confocal scanner (Agilent Technologies, Palo Alto, CA) was used to measure the fluorescence intensities at the target locations using the DEARRAY software (16). After background subtraction, average intensities at each clone in the test hybridization were divided by the average intensity of the corresponding clone in the control hybridization. For the copy number analysis, the ratios were normalized on the basis of the distribution of ratios of all targets on the array and for the expression analysis on the basis of 88 housekeeping genes, which were spotted four times onto the array. Low quality measurements (i.e., copy number data with mean reference intensity <100 fluorescent units, and expression data with both test and reference intensity <100 fluorescent units and/or with spot size <50 units)

were excluded from the analysis and were treated as missing values. The distributions of fluorescence ratios were used to define cutpoints for increased/decreased copy number. Genes with CGH ratio >1.43 (representing the upper 5% of the CGH ratios across all experiments) were considered to be amplified, and genes with ratio <0.73 (representing the lower 5%) were considered to be deleted.

**Statistical Analysis of CGH and cDNA Microarray Data.** To evaluate the influence of copy number alterations on gene expression, we applied the following statistical approach. CGH and cDNA calibrated intensity ratios were log-transformed and normalized using median centering of the values in each cell line. Furthermore, cDNA ratios for each gene across all 14 cell lines were median centered. For each gene, the CGH data were represented by a vector that was labeled 1 for amplification (ratio, >1.43) and 0 for no amplification. Amplification was correlated with gene expression using the signal-to-noise statistics (1). We calculated a weight,  $w_g$ , for each gene as follows:

$$w_g = \frac{m_{g1} - m_{g0}}{\sigma_{g1} + \sigma_{g0}}$$

where  $m_{g1}$ ,  $\sigma_{g1}$  and  $m_{g0}$ ,  $\sigma_{g0}$  denote the means and SDs for the expression levels for amplified and nonamplified cell lines, respectively. To assess the statistical significance of each weight, we performed 10,000 random permutations of the label vector. The probability that a gene had a larger or equal weight by random permutation than the original weight was denoted by  $\alpha$ . A low  $\alpha$  (<0.05) indicates a strong association between gene expression and amplification.

**Genome Localization of cDNA Clones and Amplicon Mapping.** Each cDNA clone on the microarray was assigned to a Unigene cluster using the Unigene Build 141.<sup>6</sup> A database of genomic sequence alignment information for mRNA sequences was created from the August 2001 freeze of the University of California Santa Cruz's GoldenPath database.<sup>7</sup> The chromosome and bp positions for each cDNA clone were then retrieved by relating these data sets. Amplicons were defined as a CGH copy number ratio >2.0 in at least two adjacent clones in two or more cell lines or a CGH ratio >2.0 in at least three adjacent clones in a single cell line. The amplicon start and end positions were

<sup>6</sup> Internet address: [http://research.nhgri.nih.gov/microarray/downloadable\\_cdna.html](http://research.nhgri.nih.gov/microarray/downloadable_cdna.html).

<sup>7</sup> Internet address: [www.genome.ucsc.edu](http://www.genome.ucsc.edu).

Table 1 Summary of independent amplicons in 14 breast cancer cell lines by CGH microarray

Location	Start (Mb)	End (Mb)	Size (Mb)
1p13	132.79	132.94	0.2
1q21	173.92	177.25	3.3
1q22	179.28	179.57	0.3
3p14	71.94	74.66	2.7
7p12.1-7p11.2	55.62	60.95	5.3
7q31	125.73	130.96	5.2
7q32	140.01	140.68	0.7
8q21.11-8q21.13	86.45	92.46	6.0
8q21.3	98.45	103.05	4.6
8q23.3-8q24.14	129.88	142.15	12.3
8q24.22	151.21	152.16	1.0
9p13	38.65	39.25	0.6
13q22-q31	77.15	81.38	4.2
16q22	86.70	87.62	0.9
17q11	29.30	30.85	1.6
17q12-q21.2	39.79	42.80	3.0
17q21.32-q21.33	52.47	55.80	3.3
17q22-q23.3	63.81	69.70	5.9
17q23.3-q24.3	69.93	74.99	5.1
19q13	40.63	41.40	0.8
20q11.22	34.59	35.85	1.3
20q13.12	44.00	45.62	1.6
20q13.12-q13.13	46.45	49.43	3.0
20q13.2-q13.32	51.32	59.12	7.8

extended to include neighboring nonamplified clones (ratio, <1.5). The amplicon size determination was partially dependent on local clone density.

**FISH.** Dual-color interphase FISH to breast cancer cell lines was done as described (17). Bacterial artificial chromosome clone RP11-361K8 was labeled with SpectrumOrange (Vysis, Downers Grove, IL), and SpectrumOrange-labeled probe for *EGFR* was obtained from Vysis. SpectrumGreen-labeled chromosome 7 and 17 centromere probes (Vysis) were used as a reference. A tissue microarray containing 612 formalin-fixed, paraffin-embedded primary breast cancers (17) was applied in FISH analyses as described (18). The use of these specimens was approved by the Ethics Committee of the University of Basel and by the NIH. Specimens containing a 2-fold or higher increase in the number of test probe signals, as compared with corresponding centromere signals, in at least 10% of the tumor cells were considered to be amplified. Survival analysis was performed using the Kaplan-Meier method and the log-rank test.

**RT-PCR.** The *HOXB7* expression level was determined relative to *GAPDH*. Reverse transcription and PCR amplification were performed using Access RT-PCR System (Promega Corp., Madison, WI) with 10 ng of mRNA as a template. *HOXB7* primers were 5'-GAGCAGAGGGACTCGGACTT-3' and 5'-GGCTCAGGTAGCOATTGTAG-3'.

## RESULTS

**Global Effect of Copy Number on Gene Expression.** 13,824 arrayed cDNA clones were applied for analysis of gene expression and gene copy number (CGH microarrays) in 14 breast cancer cell lines. The results illustrate a considerable influence of copy number on gene expression patterns. Up to 44% of the highly amplified transcripts (CGH ratio, >2.5) were overexpressed (i.e., belonged to the global upper 7% of expression ratios), compared with only 6% for genes with normal copy number levels (Fig. 1A). Conversely, 10.5% of the transcripts with high-level expression (cDNA ratio, >10) showed increased copy number (Fig. 1B). Low-level copy number increases and decreases were also associated with similar, although less dramatic, outcomes on gene expression (Fig. 1).

**Identification of Distinct Breast Cancer Amplicons.** Base-pair locations obtained for 11,994 cDNAs (86.8%) were used to plot copy number changes as a function of genomic position (Fig. 2, Supplement Fig. A). The average spacing of clones throughout the genome was 267 kb. This high-resolution mapping identified 24 independent breast cancer amplicons, spanning from 0.2 to 12 Mb of DNA (Table 1). Several amplification sites detected previously by chromosomal

CGH were validated, with 1q21, 17q12-q21.2, 17q22-q23, 20q13.1, and 20q13.2 regions being most commonly amplified. Furthermore, the boundaries of these amplicons were precisely delineated. In addition, novel amplicons were identified at 9p13 (38.65-39.25 Mb), and 17q21.3 (52.47-55.80 Mb).

**Direct Identification of Putative Amplification Target Genes.** The cDNA/CGH microarray technique enables the direct correlation of copy number and expression data on a gene-by-gene basis throughout the genome. We directly annotated high-resolution CGH plots with gene expression data using color coding. Fig. 2C shows that most of the amplified genes in the MCF-7 breast cancer cell line at 1p13, 17q22-q23, and 20q13 were highly overexpressed. A view of chromosome 7 in the MDA-468 cell line implicates *EGFR* as the most highly overexpressed and amplified gene at 7p11-p12 (Fig. 3A). In BT-474, the two known amplicons at 17q12 and 17q22-q23 contained numerous highly overexpressed genes (Fig. 3B). In addition, several genes, including the homeobox genes *HOXB2* and *HOXB7*, were highly amplified in a previously undescribed independent amplicon at 17q21.3. *HOXB7* was systematically amplified (as validated by FISH, Fig. 3B, inset) as well as overexpressed (as verified by RT-PCR, data not shown) in BT-474, UACC812, and ZR-75-30 cells. Furthermore, this novel

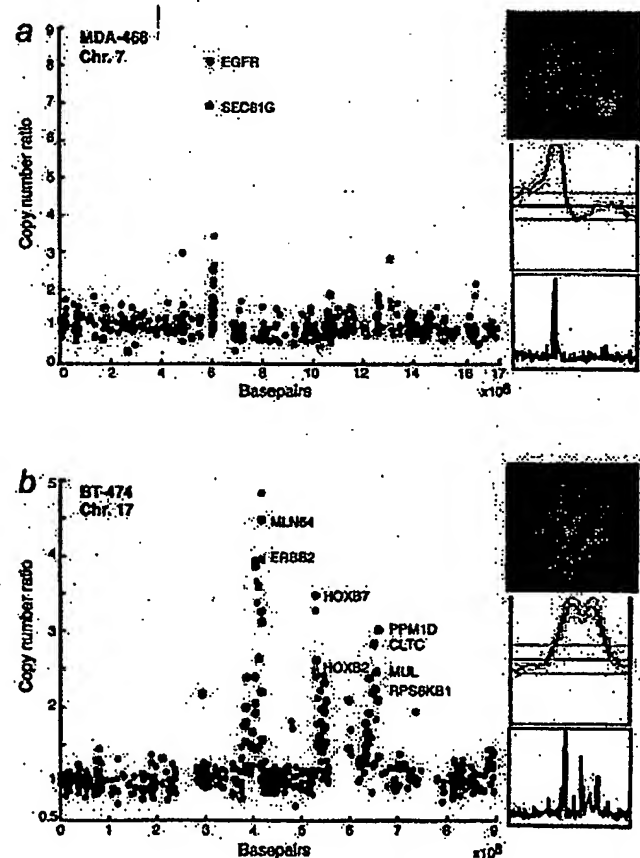
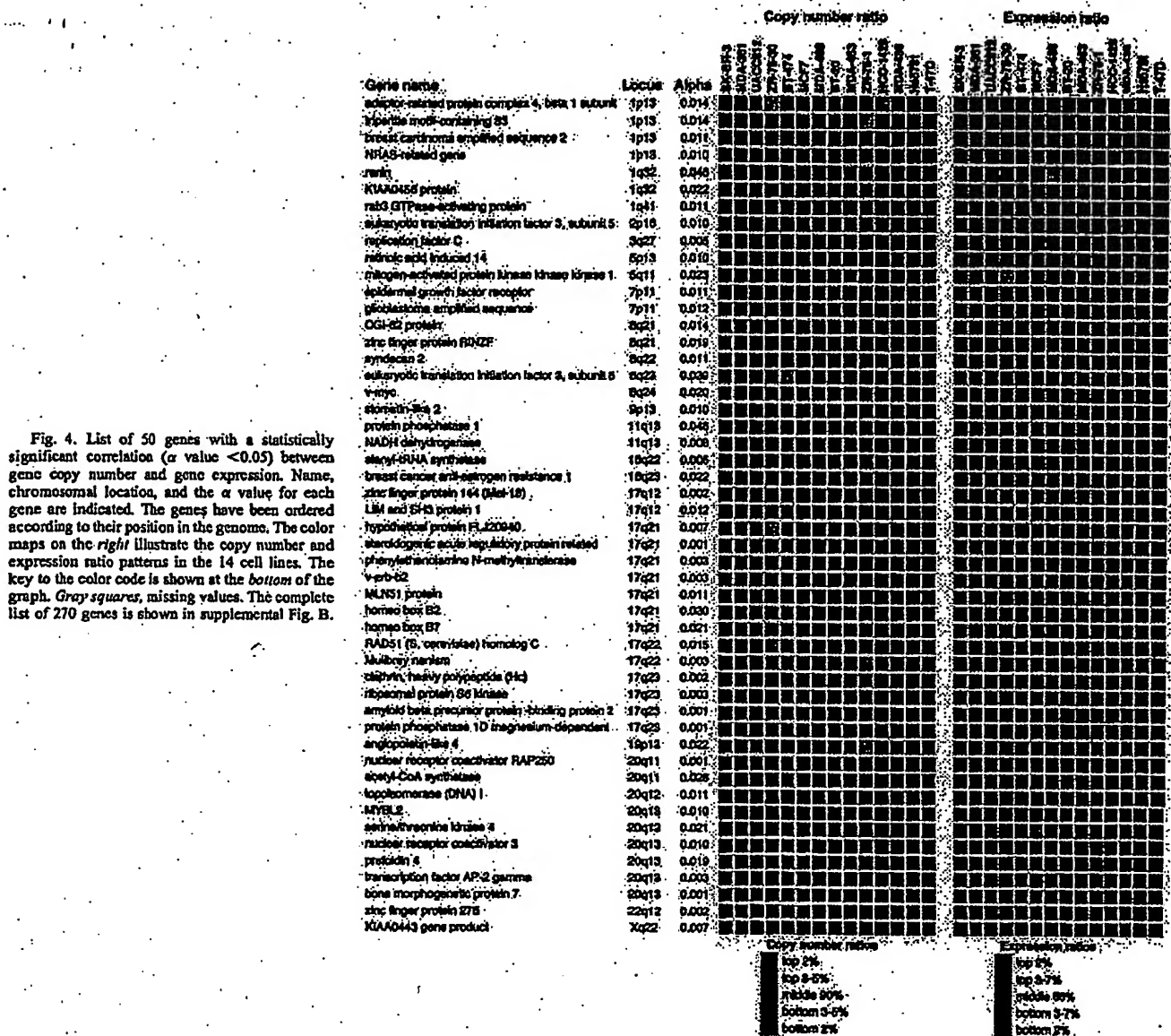


Fig. 3. Annotation of gene expression data on CGH microarray profiles. A, genes in the 7p11-p12 amplicon in the MDA-468 cell line are highly expressed (red dots) and include the *EGFR* oncogene. B, several genes in the 17q12, 17q21.3, and 17q23 amplicons in the BT-474 breast cancer cell line are highly overexpressed (red) and include the *HOXB7* gene. The data labels and color coding are as indicated for Fig. 2C. Insets show chromosomal CGH profiles for the corresponding chromosomes and validation of the increased copy number by interphase FISH using *EGFR* (red) and chromosome 7 centromere probe (green) to MDA-468 (A) and *HOXB7*-specific probe (red) and chromosome 17 centromere (green) to BT-474 cells (B).

# GENE EXPRESSION PATTERNS IN BREAST CANCER



amplification was validated to be present in 10.2% of 363 primary breast cancers by FISH to a tissue microarray and was associated with poor prognosis of the patients ( $P = 0.001$ ).

**Statistical Identification and Characterization of 270 Highly Expressed Genes in Amplicons.** Statistical comparison of expression levels of all genes as a function of gene amplification identified 270 genes whose expression was significantly influenced by copy number across all 14 cell lines (Fig. 4, Supplemental Fig. B). According to the gene ontology data,<sup>8</sup> 91 of the 270 genes represented hypothetical proteins or genes with no functional annotation, whereas 179 had associated functional information available. Of these, 151 (84%) are implicated in apoptosis, cell proliferation, signal transduction, and transcription, whereas 28 (16%) had functional annotations that could not be directly linked with cancer.

## DISCUSSION

The importance of recurrent gene and chromosome copy number changes in the development and progression of solid tumors has been characterized in >1000 publications applying CGH<sup>9</sup> (9, 10), as well as in a large number of other molecular cytogenetic, cytogenetic, and molecular genetic studies. The effects of these somatic genetic changes on gene expression levels have remained largely unknown, although a few studies have explored gene expression changes occurring in specific amplicons (15, 19–21). Here, we applied genome-wide cDNA microarrays to identify transcripts whose expression changes were attributable to underlying gene copy number alterations in breast cancer.

The overall impact of copy number on gene expression patterns was substantial with the most dramatic effects seen in the case of high-

<sup>8</sup> Internet address: <http://www.geneontology.org/>.

<sup>9</sup> Internet address: <http://www.ncbi.nlm.nih.gov/entrez>.



level copy number increase. Low-level copy number gains and losses also had a significant influence on expression levels of genes in the regions affected, but these effects were more subtle on a gene-by-gene basis than those of high-level amplifications. However, the impact of low-level gains on the dysregulation of gene expression patterns in cancer may be equally important if not more important than that of high-level amplifications. Aneuploidy and low-level gains and losses of chromosomal arms represent the most common types of genetic alterations in breast and other cancers and, therefore, have an influence on many genes. Our results in breast cancer extend the recent studies on the impact of aneuploidy on global gene expression patterns in yeast cells, acute myeloid leukemia, and a prostate cancer model system (22–24).

The CGH microarray analysis identified 24 independent breast cancer amplicons. We defined the precise boundaries for many amplicons detected previously by chromosomal CGH (9, 10, 25, 26) and also discovered novel amplicons that had not been detected previously, presumably because of their small size (only 1–2 Mb) or close proximity to other larger amplicons. One of these novel amplicons involved the homeobox gene region at 17q21.3 and led to the overexpression of the *HOXB7* and *HOXB2* genes. The homeodomain transcription factors are known to be key regulators of embryonic development and have been occasionally reported to undergo aberrant expression in cancer (27, 28). *HOXB7* transfection induced cell proliferation in melanoma, breast, and ovarian cancer cells and increased tumorigenicity and angiogenesis in breast cancer (29–32). The present results imply that gene amplification may be a prominent mechanism for overexpressing *HOXB7* in breast cancer and suggest that *HOXB7* contributes to tumor progression and confers an aggressive disease phenotype in breast cancer. This view is supported by our finding of amplification of *HOXB7* in 10% of 363 primary breast cancers, as well as an association of amplification with poor prognosis of the patients.

We carried out a systematic search to identify genes whose expression levels across all 14 cell lines were attributable to amplification status. Statistical analysis revealed 270 such genes (representing ~2% of all genes on the array), including not only previously described amplified genes, such as *HER-2*, *MYC*, *EGFR*, ribosomal protein S6 kinase, and *AIB3*, but also numerous novel genes such as *NRAS-related gene* (1p13), *syndecan-2* (8q22), and *bone morphogenic protein* (20q13.1), whose activation by amplification may similarly promote breast cancer progression. Most of the 270 genes have not been implicated previously in breast cancer development and suggest novel pathogenetic mechanisms. Although we would not expect all of them to be causally involved, it is intriguing that 84% of the genes with associated functional information were implicated in apoptosis, cell proliferation, signal transduction, transcription, or other cellular processes that could directly imply a possible role in cancer progression. Therefore, a detailed characterization of these genes may provide biological insights to breast cancer progression and might lead to the development of novel therapeutic strategies.

In summary, we demonstrate application of cDNA microarrays to the analysis of both copy number and expression levels of over 12,000 transcripts throughout the breast cancer genome, roughly once every 267 kb. This analysis provided: (a) evidence of a prominent global influence of copy number changes on gene expression levels; (b) a high-resolution map of 24 independent amplicons in breast cancer; and (c) identification of a set of 270 genes, the overexpression of which was statistically attributable to gene amplification. Characterization of a novel amplicon at 17q21.3 implicated amplification and overexpression of the *HOXB7* gene in breast cancer, including a clinical association

between *HOXB7* amplification and poor patient prognosis. Overall, our results illustrate how the identification of genes activated by gene amplification provides a powerful approach to highlight genes with an important role in cancer as well as to prioritize and validate putative targets for therapy development.

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# Microarray analysis reveals a major direct role of DNA copy number alteration in the transcriptional program of human breast tumors

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Contributed by Patrick O. Brown, August 6, 2002

Genomic DNA copy number alterations are key genetic events in the development and progression of human cancers. Here we report a genome-wide microarray comparative genomic hybridization (array CGH) analysis of DNA copy number variation in a series of primary human breast tumors. We have profiled DNA copy number alteration across 6,691 mapped human genes, in 44 predominantly advanced, primary breast tumors and 10 breast cancer cell lines. While the overall patterns of DNA amplification and deletion corroborate previous cytogenetic studies, the high-resolution (gene-by-gene) mapping of amplicon boundaries and the quantitative analysis of amplicon shape provide significant improvement in the localization of candidate oncogenes. Parallel microarray measurements of mRNA levels reveal the remarkable degree to which variation in gene copy number contributes to variation in gene expression in tumor cells. Specifically, we find that 62% of highly amplified genes show moderately or highly elevated expression, that DNA copy number influences gene expression across a wide range of DNA copy number alterations (deletion, low-, mid- and high-level amplification), that on average, a 2-fold change in DNA copy number is associated with a corresponding 1.5-fold change in mRNA levels, and that overall, at least 12% of all the variation in gene expression among the breast tumors is directly attributable to underlying variation in gene copy number. These findings provide evidence that widespread DNA copy number alteration can lead directly to global deregulation of gene expression, which may contribute to the development or progression of cancer.

Conventional cytogenetic techniques, including comparative genomic hybridization (CGH) (1), have led to the identification of a number of recurrent regions of DNA copy number alteration in breast cancer cell lines and tumors (2–4). While some of these regions contain known or candidate oncogenes [e.g., FGFR1 (8p11), MYC (8q24), CCND1 (11q13), ERBB2 (17q12), and ZNF217 (20q13)] and tumor suppressor genes [RB1 (13q14) and TP53 (17p13)], the relevant gene(s) within other regions (e.g., gain of 1q, 8q22, and 17q22–24, and loss of 8p) remain to be identified. A high-resolution genome-wide map, delineating the boundaries of DNA copy number alterations in tumors, should facilitate the localization and identification of oncogenes and tumor suppressor genes in breast cancer. In this study, we have created such a map, using array-based CGH (5–7) to profile DNA copy number alteration in a series of breast cancer cell lines and primary tumors.

An unresolved question is the extent to which the widespread DNA copy number changes that we and others have identified in breast tumors alter expression of genes within involved regions. Because we had measured mRNA levels in parallel in the same samples (8), using the same DNA microarrays, we had an opportunity to explore on a genomic scale the relationship between DNA copy number changes and gene expression. From

this analysis, we have identified a significant impact of widespread DNA copy number alteration on the transcriptional programs of breast tumors.

## Materials and Methods

**Tumors and Cell Lines.** Primary breast tumors were predominantly large (>3 cm), intermediate-grade, infiltrating ductal carcinomas, with more than 50% being lymph node positive. The fraction of tumor cells within specimens averaged at least 50%. Details of individual tumors have been published (8, 9), and are summarized in Table 1, which is published as supporting information on the PNAS web site, [www.pnas.org](http://www.pnas.org). Breast cancer cell lines were obtained from the American Type Culture Collection. Genomic DNA was isolated either using Qiagen genomic DNA columns, or by phenol/chloroform extraction followed by ethanol precipitation.

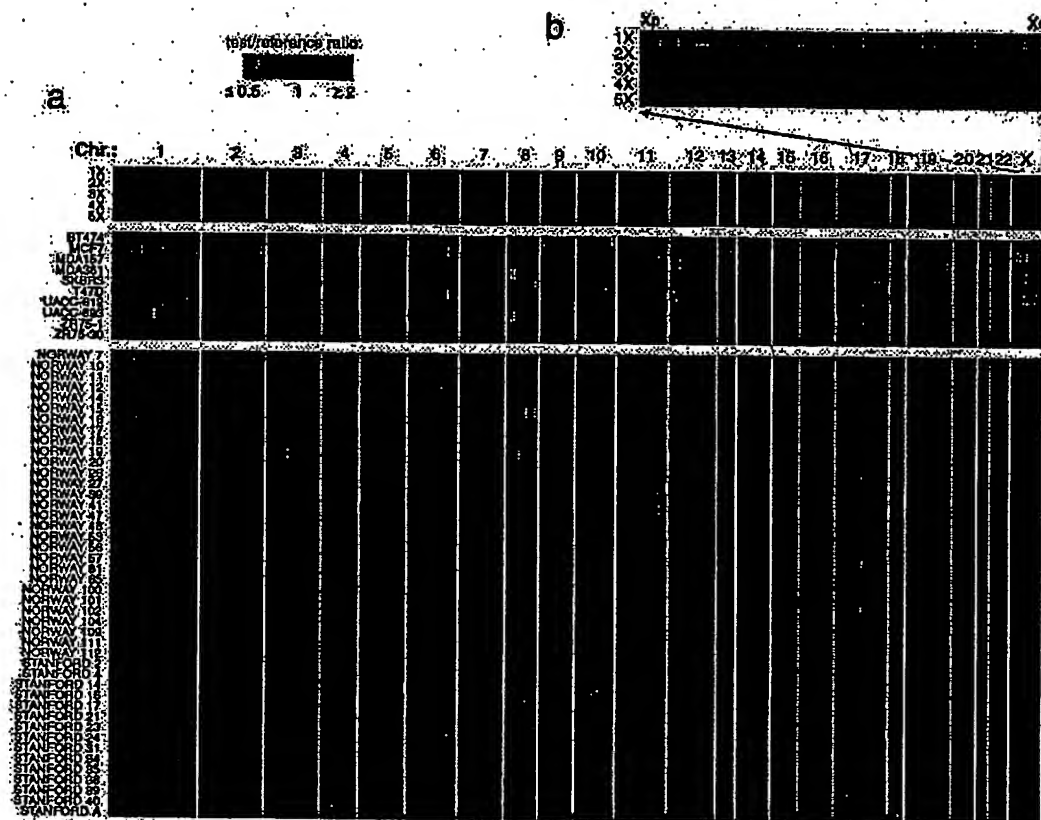
**DNA Labeling and Microarray Hybridizations.** Genomic DNA labeling and hybridizations were performed essentially as described in Pollack *et al.* (7), with slight modifications. Two micrograms of DNA was labeled in a total volume of 50 microliters and the volumes of all reagents were adjusted accordingly. "Test" DNA (from tumors and cell lines) was fluorescently labeled (Cy5) and hybridized to a human cDNA microarray containing 6,691 different mapped human genes (i.e., UniGene clusters). The "reference" (labeled with Cy3) for each hybridization was normal female leukocyte DNA from a single donor. The fabrication of cDNA microarrays and the labeling and hybridization of mRNA samples have been described (8).

**Data Analysis and Map Positions.** Hybridized arrays were scanned on a GenePix scanner (Axon Instruments, Foster City, CA), and fluorescence ratios (test/reference) calculated using SCANALYZE software (available at <http://rana.lbl.gov>). Fluorescence ratios were normalized for each array by setting the average log fluorescence ratio for all array elements equal to 0. Measurements with fluorescence intensities more than 20% above background were considered reliable. DNA copy number profiles that deviated significantly from background ratios measured in normal genomic DNA control hybridizations were interpreted as evidence of real DNA copy number alteration (see *Estimating Significance of Altered Fluorescence Ratios* in the supporting information). When indicated, DNA copy number profiles are displayed as a moving average (symmetric 5-nearest neighbors). Map positions for arrayed human cDNAs were assigned by

Abbreviation: CGH, comparative genomic hybridization.

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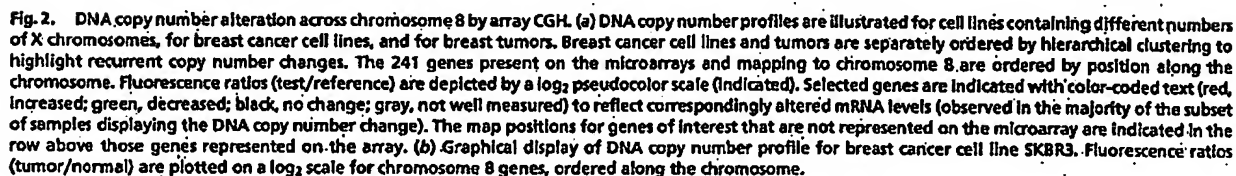
**Fig. 1.** Genome-wide measurement of DNA copy number alteration by array CGH. (a) DNA copy number profiles are illustrated for cell lines containing different numbers of X chromosomes, for breast cancer cell lines, and for breast tumors. Each row represents a different cell line or tumor, and each column represents one of 6,691 different mapped human genes present on the microarray, ordered by genome map position from 1pter through Xqter. Moving average (symmetric 5-nearest neighbors) fluorescence ratios (test/reference) are depicted using a log<sub>2</sub>-based pseudocolor scale (indicated), such that red luminescence reflects fold-amplification, green luminescence reflects fold-deletion, and black indicates no change (gray indicates poorly measured data). (b) Enlarged view of DNA copy number profiles across the X chromosome, shown for cell lines containing different numbers of X chromosomes.

identifying the starting position of the best and longest match of any DNA sequence represented in the corresponding UniGene cluster (10) against the "Golden Path" genome assembly (<http://genome.ucsc.edu/>; Oct 7, 2000 Freeze). For UniGene clusters represented by multiple arrayed elements, mean fluorescence ratios (for all elements representing the same UniGene cluster) are reported. For mRNA measurements, fluorescence ratios are "mean-centered" (i.e., reported relative to the mean ratio across the 44 tumor samples). The data set described here can be accessed in its entirety in the supporting information.

### Results

We performed CGH on 44 predominantly locally advanced, primary breast tumors and 10 breast cancer cell lines, using cDNA microarrays containing 6,691 different mapped human genes (Fig. 1a; also see *Materials and Methods* for details of microarray hybridizations). To take full advantage of the improved spatial resolution of array CGH, we ordered (fluorescence ratios for) the 6,691 cDNAs according to the "Golden Path" (<http://genome.ucsc.edu/>) genome assembly of the draft human genome sequences (11). In so doing, arrayed cDNAs not only themselves represent genes of potential interest (e.g., candidate oncogenes within amplicons), but also provide precise genetic landmarks for chromosomal regions of amplification and

deletion. Parallel analysis of DNA from cell lines containing different numbers of X chromosomes (Fig. 1b), as we did before (7), demonstrated the sensitivity of our method to detect single-copy loss (45, XO), and 1.5- (47, XXX), 2- (48, XXXX), or 2.5-fold (49, XXXXX) gains (also see Fig. 5, which is published as supporting information on the PNAS web site). Fluorescence ratios were linearly proportional to copy number ratios, which were slightly underestimated, in agreement with previous observations (7). Numerous DNA copy number alterations were evident in both the breast cancer cell lines and primary tumors (Fig. 1a), detected in the tumors despite the presence of euploid non-tumor cell types; the magnitudes of the observed changes were generally lower in the tumor samples. DNA copy-number alterations were found in every cancer cell line and tumor, and on every human chromosome in at least one sample. Recurrent regions of DNA copy number gain and loss were readily identifiable. For example, gains within 1q, 8q, 17q, and 20q were observed in a high proportion of breast cancer cell lines/tumors (90%/69%, 100%/47%, 100%/60%, and 90%/44%, respectively), as were losses within 1p, 3p, 8p, and 13q (80%/24%, 80%/22%, 80%/22%, and 70%/18%, respectively), consistent with published cytogenetic studies (refs. 2-4; a complete listing of gains/losses is provided in Tables 2 and 3, which are published as supporting information on the PNAS web site). The total



The improved spatial resolution of our array CGH analysis is illustrated for chromosome 8, which displayed extensive DNA copy number alteration in our series. A detailed view of the variation in the copy number of 241 genes mapping to chromosome 8 revealed multiple regions of recurrent amplification; each of these potentially harbors a different known or previously uncharacterized oncogene (Fig. 2a). The complexity of amplicon structure is most easily appreciated in the breast cancer cell line SKBR3. Although a conventional CGH analysis of 8q in SKBR3 identified only two distinct regions of amplification (12), we observed three distinct regions of high-level amplification (labeled 1-3 in Fig. 2b). For each of these regions we can define the

For a subset of breast cancer cell lines and tumors (4 and 37, respectively), and a subset of arrayed genes (6,095), mRNA levels were quantitatively measured in parallel by using cDNA microarrays (8). The parallel assessment of mRNA levels is useful in the interpretation of DNA copy number changes. For example, the highly amplified genes that are also highly expressed are the strongest candidate oncogenes within an amplification. Perhaps more significantly, our parallel analysis of DNA copy number changes and mRNA levels provides us the opportunity to assess the global impact of widespread DNA copy number alteration on gene expression in tumor cells.

PNAS | October 1, 2002 | vol. 99 | no. 20 | 12965

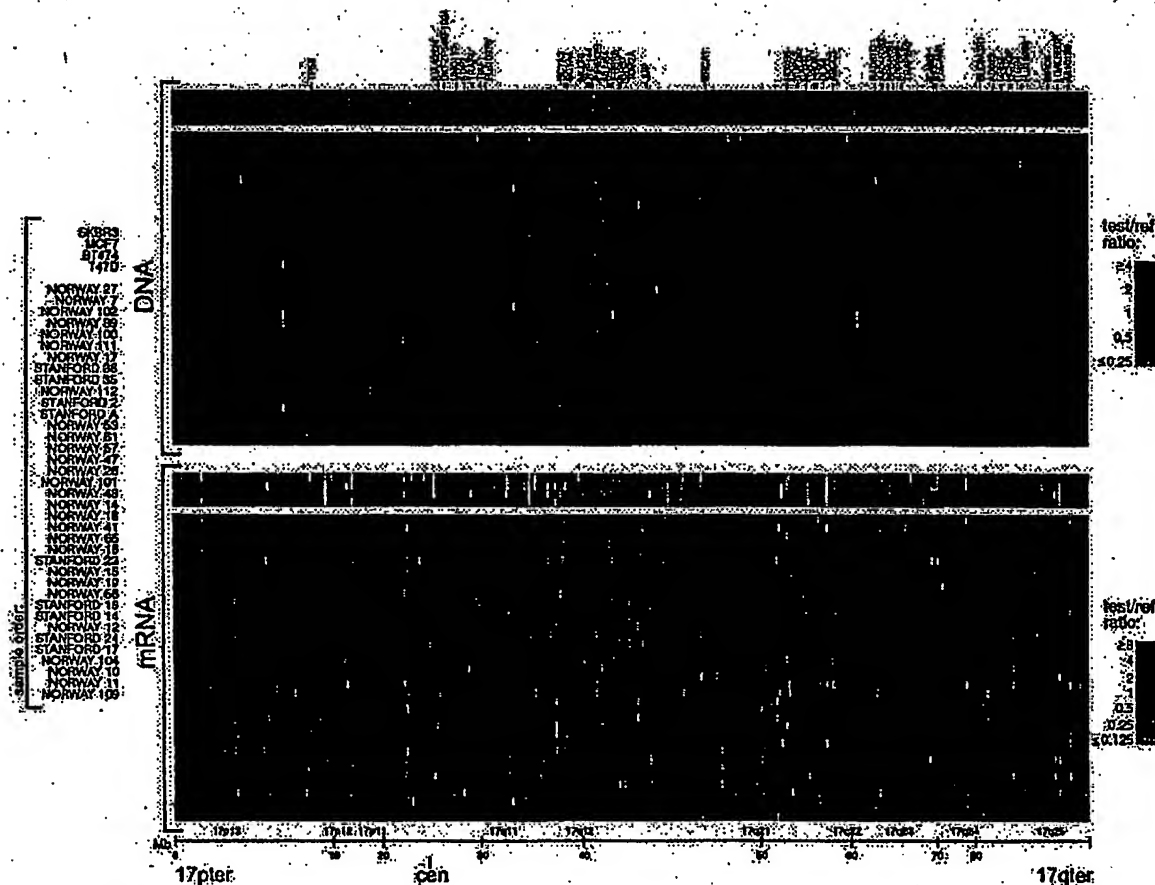


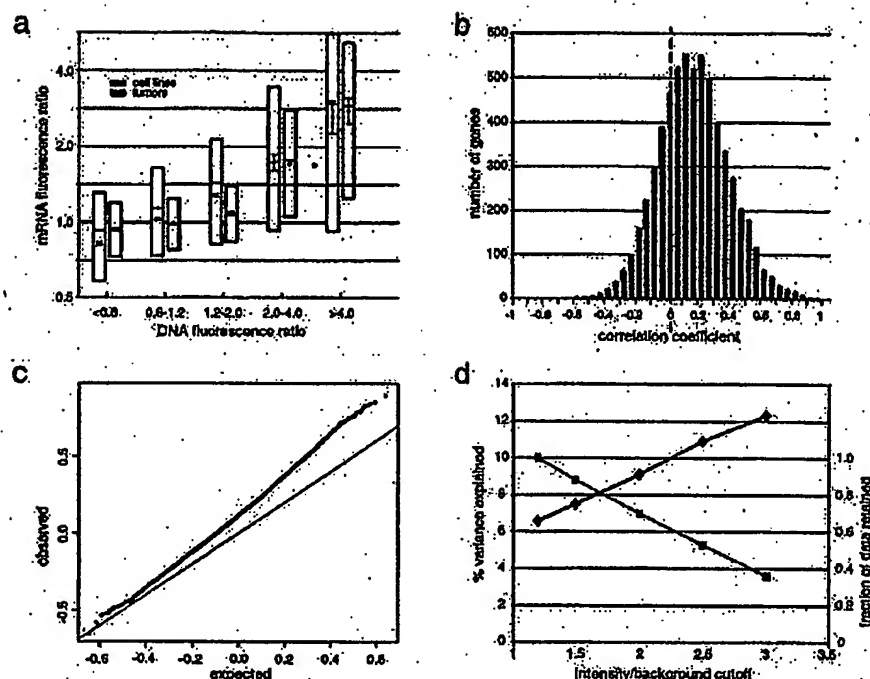
Fig. 3. Concordance between DNA copy number and gene expression across chromosome 17. DNA copy number alteration (Upper) and mRNA levels (Lower) are illustrated for breast cancer cell lines and tumors. Breast cancer cell lines and tumors are separately ordered by hierarchical clustering (Upper), and the identical sample order is maintained (Lower). The 354 genes present on the microarrays and mapping to chromosome 17, and for which both DNA copy number and mRNA levels were determined, are ordered by position along the chromosome; selected genes are indicated in color-coded text (see Fig. 2 legend). Fluorescence ratios (test/reference) are depicted by separate  $\log_2$  pseudocolor scales (indicated).

of DNA copy number and mRNA levels for genes on chromosome 17 (Fig. 3). The overall patterns of gene amplification and elevated gene expression are quite concordant; i.e., a significant fraction of highly amplified genes appear to be correspondingly highly expressed. The concordance between high-level amplification and increased gene expression is not restricted to chromosome 17. Genome-wide, of 117 high-level DNA amplifications (fluorescence ratios  $>4$ , and representing 91 different genes), 62% (representing 54 different genes; see Table 5, which is published as supporting information on the PNAS web site) are found associated with at least moderately elevated mRNA levels (mean-centered fluorescence ratios  $>2$ ), and 42% (representing 36 different genes) are found associated with comparably highly elevated mRNA levels (mean-centered fluorescence ratios  $>4$ ).

To determine the extent to which DNA deletion and lower-level amplification (in addition to high-level amplification) are also associated with corresponding alterations in mRNA levels, we performed three separate analyses on the complete data set (4 cell lines and 37 tumors, across 6,095 genes). First, we determined the average mRNA levels for each of five classes of genes, representing DNA deletion, no change, and low-, medium-, and high-level amplification (Fig. 4a). For both the

breast cancer cell lines and tumors, average mRNA levels tracked with DNA copy number across all five classes, in a statistically significant fashion ( $P$  values for pair-wise Student's  $t$  tests comparing adjacent classes: cell lines,  $4 \times 10^{-49}$ ,  $1 \times 10^{-49}$ ,  $5 \times 10^{-5}$ ,  $1 \times 10^{-2}$ ; tumors,  $1 \times 10^{-43}$ ,  $1 \times 10^{-214}$ ,  $5 \times 10^{-41}$ ,  $1 \times 10^{-4}$ ). A linear regression of the average  $\log(\text{DNA copy number})$ , for each class, against average  $\log(\text{mRNA level})$  demonstrated that on average, a 2-fold change in DNA copy number was accompanied by 1.4- and 1.5-fold changes in mRNA level for the breast cancer cell lines and tumors, respectively (Fig. 4a, regression line not shown). Second, we characterized the distribution of the 6,095 correlations between DNA copy number and mRNA level, each across the 37 tumor samples (Fig. 4b). The distribution of correlations forms a normal-shaped curve, but with the peak markedly shifted in the positive direction from zero. This shift is statistically significant, as evidenced in a plot of observed vs. expected correlations (Fig. 4c), and reflects a pervasive global influence of DNA copy number alterations on gene expression. Notably, the highest correlations between DNA copy number and mRNA level (the right tail of the distribution in Fig. 4b) comprise both amplified and deleted genes (data not shown). Third, we used a linear regression model to estimate the fraction of all variation measured in mRNA levels among the 37





**Fig. 4.** Genome-wide influence of DNA copy number alterations on mRNA levels. (a) For breast cancer cell lines (gray) and tumor samples (black), both mean-centered mRNA fluorescence ratio (log<sub>2</sub> scale) quartiles (box plots indicate 25th, 50th, and 75th percentile) and averages (diamonds; Y-value error bars indicate standard errors of the mean) are plotted for each of five classes of genes, representing DNA deletion (tumor/normal ratio < 0.8), no change (0.8–1.2), low- (1.2–2), medium- (2–4), and high-level (>4) amplification. *P* values for pair-wise Student's *t* tests, comparing averages between adjacent classes (moving left to right), are  $4 \times 10^{-49}$ ,  $1 \times 10^{-43}$ ,  $5 \times 10^{-5}$ ,  $1 \times 10^{-2}$  (cell lines), and  $1 \times 10^{-43}$ ,  $1 \times 10^{-214}$ ,  $5 \times 10^{-41}$ ,  $1 \times 10^{-4}$  (tumors). (b) Distribution of correlations between DNA copy number and mRNA levels, for 6,095 different human genes across 37 breast tumor samples. (c) Plot of observed versus expected correlation coefficients. The expected values were obtained by randomization of the sample labels in the DNA copy number data set. The line of unity is indicated. (d) Percent variance in gene expression (among tumors) directly explained by variation in gene copy number. Percent variance explained (black line) and fraction of data retained (gray line) are plotted for different fluorescence intensity/background (a rough surrogate for signal/noise) cutoff values. Fraction of data retained is relative to the 1.2 intensity/background cutoff. Details of the linear regression model used to estimate the fraction of variation in gene expression attributable to underlying DNA copy number alteration can be found in the supporting information (see *Estimating the Fraction of Variation in Gene Expression Attributable to Underlying DNA Copy Number Alteration*).

tumors that could be attributed to underlying variation in DNA copy number. From this analysis, we estimate that, overall, about 7% of all of the observed variation in mRNA levels can be explained directly by variation in copy number of the altered genes (Fig. 4d). We can reduce the effects of experimental measurement error on this estimate by using only that fraction of the data most reliably measured (fluorescence intensity/background > 3); using that data, our estimate of the percent variation in mRNA levels directly attributed to variation in gene copy number increases to 12% (Fig. 4d). This still undoubtedly represents a significant underestimate, as the observed variation in global gene expression is affected not only by true variation in the expression programs of the tumor cells themselves, but also by the variable presence of non-tumor cell types within clinical samples.

#### Discussion

This genome-wide, array CGH analysis of DNA copy number alteration in a series of human breast tumors demonstrates the usefulness of defining amplicon boundaries at high resolution (gene-by-gene), and quantitatively measuring amplicon shape, to assist in locating and identifying candidate oncogenes. By analyzing mRNA levels in parallel, we have also discovered that changes in DNA copy number have a large, pervasive, direct effect on global gene expression patterns in both breast cancer

cell lines and tumors. Although the DNA microarrays used in our analysis may display a bias toward characterized and/or highly expressed genes, because we are examining such a large fraction of the genome (approximately 20% of all human genes), and because, as detailed above, we are likely underestimating the contribution of DNA copy number changes to altered gene expression, we believe our findings are likely to be generalizable (but would nevertheless still be remarkable if only applicable to this set of ~6,100 genes).

In budding yeast, aneuploidy has been shown to result in chromosome-wide gene expression biases (13). Two recent studies have begun to examine the global relationship between DNA copy number and gene expression in cancer cells. In agreement with our findings, Phillips *et al.* (14) have shown that with the acquisition of tumorigenicity in an immortalized prostate epithelial cell line, new chromosomal gains and losses resulted in a statistically significant respective increase and decrease in the average expression level of involved genes. In contrast, Platzer *et al.* (15) recently reported that in metastatic colon tumors only ~4% of genes within amplified regions were found more highly (>2-fold) expressed, when compared with normal colonic epithelium. This report differs substantially from our finding that 62% of highly amplified genes in breast cancer exhibit at least 2-fold increased expression. These contrasting findings may reflect methodological differences between the

studies. For example, the study of Platzer *et al.* (15) may have systematically under-measured gene expression changes. In this regard it is remarkable that only 14 transcripts of many thousand residing within unamplified chromosomal regions were found to exhibit at least 4-fold altered expression in metastatic colon cancer. Additionally, their reliance on lower-resolution chromosomal CGH may have resulted in poorly delimiting the boundaries of high-complexity amplicons, effectively overcalling regions with amplification. Alternatively, the contrasting findings for amplified genes may represent real biological differences between breast and metastatic colon tumors; resolution of this issue will require further studies.

Our finding that widespread DNA copy number alteration has a large, pervasive and direct effect on global gene expression patterns in breast cancer has several important implications. First, this finding supports a high degree of copy number-dependent gene expression in tumors. Second, it suggests that most genes are not subject to specific autoregulation or dosage compensation. Third, this finding cautions that elevated expression of an amplified gene cannot alone be considered strong independent evidence of a candidate oncogene's role in tumorigenesis. In our study, fully 62% of highly amplified genes demonstrated moderately or highly elevated expression. This highlights the importance of high-resolution mapping of amplicon boundaries and shape [to identify the "driving" gene(s) within amplicons (16)], on a large number of samples, in addition to functional studies. Fourth, this finding suggests that analyzing

the genomic distribution of expressed genes, even within existing microarray gene expression data sets, may permit the inference of DNA copy number aberration, particularly aneuploidy (where gene expression can be averaged across large chromosomal regions; see Fig. 3 and supporting information). Fifth, this finding implies that a substantial portion of the phenotypic uniqueness (and by extension, the heterogeneity in clinical behavior) among patients' tumors may be traceable to underlying variation in DNA copy number. Sixth, this finding supports a possible role for widespread DNA copy number alteration in tumorigenesis (17, 18), beyond the amplification of specific oncogenes and deletion of specific tumor suppressor genes. Widespread DNA copy number alteration, and the concomitant widespread imbalance in gene expression, might disrupt critical stoichiometric relationships in cell metabolism and physiology (e.g., proteasome, mitotic spindle), possibly promoting further chromosomal instability and directly contributing to tumor development or progression. Finally, our findings suggest the possibility of cancer therapies that exploit specific or global imbalances in gene expression in cancer.

We thank the many members of the P.O.B. and D.B. labs for helpful discussions. J.R.P. was a Howard Hughes Medical Institute Physician Postdoctoral Fellow during a portion of this work. P.O.B. is a Howard Hughes Medical Institute Associate Investigator. This work was supported by grants from the National Institutes of Health, the Howard Hughes Medical Institute, the Norwegian Cancer Society, and the Norwegian Research Council.

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EXHIBIT G

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Ashkenazi et al.  
App. No. : 09/903,925  
Filed : July 11, 2001  
For : SECRETED AND  
TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC  
ACIDS ENCODING THE SAME  
Examiner : Hamud, Fozia M

Group Art Unit 1647

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner of Patents, Washington D.C. 20231 on:

(Date)

Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

DECLARATION OF AVI ASHKENAZI, Ph.D UNDER 37 C.F.R. § 1.132

I, Avi Ashkenazi, Ph.D. declare and say as follows: -

1. I am Director and Staff Scientist at the Molecular Oncology Department of Genentech, Inc., South San Francisco, CA 94080.
2. I joined Genentech in 1988 as a postdoctoral fellow. Since then, I have investigated a variety of cellular signal transduction mechanisms, including apoptosis, and have developed technologies to modulate such mechanisms as a means of therapeutic intervention in cancer and autoimmune disease. I am currently involved in the investigation of a series of secreted proteins over-expressed in tumors, with the aim to identify useful targets for the development of therapeutic antibodies for cancer treatment.
3. My scientific Curriculum Vitae, including my list of publications, is attached to and forms part of this Declaration (Exhibit A).
4. Gene amplification is a process in which chromosomes undergo changes to contain multiple copies of certain genes that normally exist as a single copy, and is an important factor in the pathophysiology of cancer. Amplification of certain genes (e.g., Myc or Her2/Neu)

gives cancer cells a growth or survival advantage relative to normal cells, and might also provide a mechanism of tumor cell resistance to chemotherapy or radiotherapy.

5. If gene amplification results in over-expression of the mRNA and the corresponding gene product, then it identifies that gene product as a promising target for cancer therapy, for example by the therapeutic antibody approach. Even in the absence of over-expression of the gene product, amplification of a cancer marker gene - as detected, for example, by the reverse transcriptase TaqMan<sup>®</sup> PCR or the fluorescence *in situ* hybridization (FISH) assays - is useful in the diagnosis or classification of cancer, or in predicting or monitoring the efficacy of cancer therapy. An increase in gene copy number can result not only from intrachromosomal changes but also from chromosomal aneuploidy. It is important to understand that detection of gene amplification can be used for cancer diagnosis even if the determination includes measurement of chromosomal aneuploidy. Indeed, as long as a significant difference relative to normal tissue is detected, it is irrelevant if the signal originates from an increase in the number of gene copies per chromosome and/or an abnormal number of chromosomes.

6. I understand that according to the Patent Office, absent data demonstrating that the increased copy number of a gene in certain types of cancer leads to increased expression of its product, gene amplification data are insufficient to provide substantial utility or well established utility for the gene product (the encoded polypeptide), or an antibody specifically binding the encoded polypeptide. However, even when amplification of a cancer marker gene does not result in significant over-expression of the corresponding gene product, this very absence of gene product over-expression still provides significant information for cancer diagnosis and treatment. Thus, if over-expression of the gene product does not parallel gene amplification in certain tumor types but does so in others, then parallel monitoring of gene amplification and gene product over-expression enables more accurate tumor classification and hence better determination of suitable therapy. In addition, absence of over-expression is crucial information for the practicing clinician. If a gene is amplified but the corresponding gene product is not over-expressed, the clinician accordingly will decide not to treat a patient with agents that target that gene product.

7. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information or belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so

made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful statements may jeopardize the validity of the application or any patent issued thereon.

By: Avi Ashkenazi  
Avi Ashkenazi, Ph.D.

Date: 9/15/03

## **CURRICULUM VITAE**

**Avi Ashkenazi**

July 2003

### **Personal:**

Date of birth: 29 November, 1956  
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### **Education:**

1983: B.S. in Biochemistry, with honors, Hebrew University, Israel  
1986: Ph.D. in Biochemistry, Hebrew University, Israel

### **Employment:**

1983-1986: Teaching assistant, undergraduate level course in Biochemistry  
1985-1986: Teaching assistant, graduate level course on Signal Transduction  
1986 - 1988: Postdoctoral fellow, Hormone Research Dept., UCSF, and  
Developmental Biology Dept., Genentech, Inc., with J. Ramachandran  
1988 - 1989: Postdoctoral fellow, Molecular Biology Dept., Genentech, Inc.,  
with D. Capon  
1989 - 1993: Scientist, Molecular Biology Dept., Genentech, Inc.  
1994 - 1996: Senior Scientist, Molecular Oncology Dept., Genentech, Inc.  
1996-1997: Senior Scientist and Interim director, Molecular Oncology Dept.,  
Genentech, Inc.  
1997-1990: Senior Scientist and preclinical project team leader, Genentech, Inc.  
1999 -2002: Staff Scientist in Molecular Oncology, Genentech, Inc.  
2002-present: Staff Scientist and Director in Molecular Oncology, Genentech, Inc.

### **Awards:**

1988: First prize, The Boehringer Ingelheim Award

### Editorial:

Editorial Board Member: Current Biology

Associate Editor, Clinical Cancer Research.

Associate Editor, Cancer Biology and Therapy.

### Refereed papers:

1. Gertler, A., Ashkenazi, A., and Madar, Z. Binding sites for human growth hormone and ovine and bovine prolactins in the mammary gland and liver of the lactating cow. *Mol. Cell. Endocrinol.* **34**, 51-57 (1984).
2. Gertler, A., Shamay, A., Cohen, N., Ashkenazi, A., Friesen, H., Levanon, A., Gorecki, M., Aviv, H., Hadari, D., and Vogel, T. Inhibition of lactogenic activities of ovine prolactin and human growth hormone (hGH) by a novel form of a modified recombinant hGH. *Endocrinology* **118**, 720-726 (1986).
3. Ashkenazi, A., Madar, Z., and Gertler, A. Partial purification and characterization of bovine mammary gland prolactin receptor. *Mol. Cell. Endocrinol.* **50**, 79-87 (1987).
4. Ashkenazi, A., Pines, M., and Gertler, A. Down-regulation of lactogenic hormone receptors in Nb2 lymphoma cells by cholera toxin. *Biochemistry Internatl.* **14**, 1065-1072 (1987).
5. Ashkenazi, A., Cohen, R., and Gertler, A. Characterization of lactogen receptors in lactogenic hormone-dependent and independent Nb2 lymphoma cell lines. *FEBS Lett.* **210**, 51-55 (1987).
6. Ashkenazi, A., Vogel, T., Barash, I., Hadari, D., Levanon, A., Gorecki, M., and Gertler, A. Comparative study on in vitro and in vivo modulation of lactogenic and somatotrophic receptors by native human growth hormone and its modified recombinant analog. *Endocrinology* **121**, 414-419 (1987).
7. Peralta, E., Winslow, J., Peterson, G., Smith, D., Ashkenazi, A., Ramachandran, J., Schimerlik, M., and Capon, D. Primary structure and biochemical properties of an M2 muscarinic receptor. *Science* **236**, 600-605 (1987).
8. Peralta, E., Ashkenazi, A., Winslow, J., Smith, D., Ramachandran, J., and Capon, D. J. Distinct primary structures, ligand-binding properties and tissue-specific expression of four human muscarinic acetylcholine receptors. *EMBO J.* **6**, 3923-3929 (1987).
9. Ashkenazi, A., Winslow, J., Peralta, E., Peterson, G., Schimerlik, M., Capon, D., and Ramachandran, J. An M2 muscarinic receptor subtype coupled to both adenylyl cyclase and phosphoinositide turnover. *Science* **238**, 672-675 (1987).

10. Pines, M., Ashkenazi, A., Cohen-Chapnik, N., Binder, L., and Gertler, A. Inhibition of the proliferation of Nb2 lymphoma cells by femtomolar concentrations of cholera toxin and partial reversal of the effect by 12-o-tetradecanoyl-phorbol-13-acetate. *J. Cell. Biochem.* 37, 119-129 (1988).
11. Peralta, E., Ashkenazi, A., Winslow, J., Ramachandran, J., and Capon, D. Differential regulation of PI hydrolysis and adenylyl cyclase by muscarinic receptor subtypes. *Nature* 334, 434-437 (1988).
12. Ashkenazi, A., Peralta, E., Winslow, J., Ramachandran, J., and Capon, D. Functionally distinct G proteins couple different receptors to PI hydrolysis in the same cell. *Cell* 56, 487-493 (1989).
13. Ashkenazi, A., Ramachandran, J., and Capon, D. Acetylcholine analogue stimulates DNA synthesis in brain-derived cells via specific muscarinic acetylcholine receptor subtypes. *Nature* 340, 146-150 (1989).
14. Lammare, D., Ashkenazi, A., Fleury, S., Smith, D., Sekaly, R., and Capon, D. The MHC-binding and gp120-binding domains of CD4 are distinct and separable. *Science* 245, 743-745 (1989).
15. Ashkenazi, A., Presta, L., Marsters, S., Camerato, T., Rosenthal, K., Fendly, B., and Capon, D. Mapping the CD4 binding site for human immunodeficiency virus type 1 by alanine-scanning mutagenesis. *Proc. Natl. Acad. Sci. USA.* 87, 7150-7154 (1990).
16. Chamow, S., Peers, D., Byrn, R., Mulkerrin, M., Harris, R., Wang, W., Bjorkman, P., Capon, D., and Ashkenazi, A. Enzymatic cleavage of a CD4 immunoadhesin generates crystallizable, biologically active Fd-like fragments. *Biochemistry* 29, 9885-9891 (1990).
17. Ashkenazi, A., Smith, D., Marsters, S., Riddle, L., Gregory, T., Ho, D., and Capon, D. Resistance of primary isolates of human immunodeficiency virus type 1 to soluble CD4 is independent of CD4-gp120 binding affinity. *Proc. Natl. Acad. Sci. USA.* 88, 7056-7060 (1991).
18. Ashkenazi, A., Marsters, S., Capon, D., Chamow, S., Figari, I., Pennica, D., Goeddel, D., Palladino, M., and Smith, D. Protection against endotoxic shock by a tumor necrosis factor receptor immunoadhesin. *Proc. Natl. Acad. Sci. USA.* 88, 10535-10539 (1991).
19. Moore, J., McKeating, J., Huang, Y., Ashkenazi, A., and Ho, D. Virions of primary HIV-1 isolates resistant to sCD4 neutralization differ in sCD4 affinity and glycoprotein gp120 retention from sCD4-sensitive isolates. *J. Virol.* 66, 235-243 (1992).

20. Jin, H., Oksenberg, D., Ashkenazi, A., Peroutka, S., Duncan, A., Rozmahel, R., Yang, Y., Mengod, G., Palacios, J., and O'Dowd, B. Characterization of the human 5-hydroxytryptamine<sub>1B</sub> receptor. *J. Biol. Chem.* **267**, 5735-5738 (1992).
21. Marsters, A., Frutkin, A., Simpson, N., Fendly, B. and Ashkenazi, A. Identification of cysteine-rich domains of the type 1 tumor necrosis receptor involved in ligand binding. *J. Biol. Chem.* **267**, 5747-5750 (1992).
22. Chamow, S., Kogan, T., Peers, D., Hastings, R., Byrn, R., and Ashkenazi, A. Conjugation of sCD4 without loss of biological activity via a novel carbohydrate-directed cross-linking reagent. *J. Biol. Chem.* **267**, 15916-15922 (1992).
23. Oksenberg, D., Marsters, A., O'Dowd, B., Jin, H., Havlik, S., Peroutka, S., and Ashkenazi, A. A single amino-acid difference confers major pharmacologic variation between human and rodent 5-HT<sub>1B</sub> receptors. *Nature* **360**, 161-163 (1992).
24. Haak-Frendscho, M., Marsters, S., Chamow, S., Peers, D., Simpson, N., and Ashkenazi, A. Inhibition of interferon  $\gamma$  by an interferon  $\gamma$  receptor immunoadhesin. *Immunology* **79**, 594-599 (1993).
25. Penica, D., Lam, V., Weber, R., Kohr, W., Basa, L., Spellman, M., Ashkenazi, A., Shire, S., and Goeddel, D. Biochemical characterization of the extracellular domain of the 75-kd tumor necrosis factor receptor. *Biochemistry* **32**, 3131-3138. (1993).
26. Barford, L., Zheng, Y., Kuang, W., Hart, M., Evans, T., Cerione, R., and Ashkenazi, A. Cloning and expression of a human CDC42 GTPase Activating Protein reveals a functional SH3-binding domain. *J. Biol. Chem.* **268**, 26059-26062 (1993).
27. Chamow, S., Zhang, D., Tan, X., Mhtre, S., Marsters, S., Peers, D., Byrn, R., Ashkenazi, A., and Yunghans, R. A humanized bispecific immunoadhesin-antibody that retargets CD3<sup>+</sup> effectors to kill HIV-1-infected cells. *J. Immunol.* **153**, 4268-4280 (1994).
28. Means, R., Krantz, S., Luna, J., Marsters, S., and Ashkenazi, A. Inhibition of murine erythroid colony formation in vitro by interferon  $\gamma$  and correction by interferon  $\gamma$  receptor immunoadhesin. *Blood* **83**, 911-915 (1994).
29. Haak-Frendscho, M., Marsters, S., Mordenti, J., Gillet, N., Chen, S., and Ashkenazi, A. Inhibition of TNF by a TNF receptor immunoadhesin: comparison with an anti-TNF mAb. *J. Immunol.* **152**, 1347-1353 (1994).

30. Chamow, S., Kogan, T., Venuti, M., Gadek, T., Peers, D., Mordenti, J., Shak, S., and Ashkenazi, A. Modification of CD4 immunoadhesin with monomethoxy-PEG aldehyde via reductive alkylation. *Bioconj. Chem.* **5**, 133-140 (1994).
31. Jin, H., Yang, R., Marsters, S., Bunting, S., Wurm, F., Chamow, S., and Ashkenazi, A. Protection against rat endotoxic shock by p55 tumor necrosis factor (TNF) receptor immunoadhesin: comparison to anti-TNF monoclonal antibody. *J. Infect. Diseases* **170**, 1323-1326 (1994).
32. Beck, J., Marsters, S., Harris, R., Ashkenazi, A., and Chamow, S. Generation of soluble interleukin-1 receptor from an immunoadhesin by specific cleavage. *Mol. Immunol.* **31**, 1335-1344 (1994).
33. Pitti, B., Marsters, M., Haak-Frendscho, M., Osaka, G., Mordenti, J., Chamow, S., and Ashkenazi, A. Molecular and biological properties of an interleukin-1 receptor immunoadhesin. *Mol. Immunol.* **31**, 1345-1351 (1994).
34. Oksenberg, D., Havlik, S., Peroutka, S., and Ashkenazi, A. The third intracellular loop of the 5-HT<sub>2</sub> receptor specifies effector coupling. *J. Neurochem.* **64**, 1440-1447 (1995).
35. Bach, E., Szabo, S., Dighe, A., Ashkenazi, A., Aguet, M., Murphy, K., and Schreiber, R. Ligand-induced autoregulation of IFN- $\gamma$  receptor  $\beta$  chain expression in T helper cell subsets. *Science* **270**, 1215-1218 (1995).
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37. Marsters, S., Penica, D., Bach, E., Schreiber, R., and Ashkenazi, A. Interferon  $\gamma$  signals via a high-affinity multisubunit receptor complex that contains two types of polypeptide chain. *Proc. Natl. Acad. Sci. USA.* **92**, 5401-5405 (1995).
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39. Pitti, R., Marsters, S., Ruppert, S., Donahue, C., Moore, A., and Ashkenazi, A. Induction of apoptosis by Apo-2 Ligand, a new member of the tumor necrosis factor cytokine family. *J. Biol. Chem.* **271**, 12687-12690 (1996).



40. Marsters, S., Pitti, R., Donahue, C., Rupert, S., Bauer, K., and Ashkenazi, A. Activation of apoptosis by Apo-2 ligand is independent of FADD but blocked by CrmA. *Curr. Biol.* 6, 1669-1676 (1996).
41. Marsters, S., Skubatch, M., Gray, C., and Ashkenazi, A. Herpesvirus entry mediator, a novel member of the tumor necrosis factor receptor family, activates the NF- $\kappa$ B and AP-1 transcription factors. *J. Biol. Chem.* 272, 14029-14032 (1997).
42. Sheridan, J., Marsters, S., Pitti, R., Gurney, A., Skubatch, M., Baldwin, D., Ramakrishnan, L., Gray, C., Baker, K., Wood, W.I., Goddard, A., Godowski, P., and Ashkenazi, A. Control of TRAIL-induced apoptosis by a family of signaling and decoy receptors. *Science* 277, 818-821 (1997).
43. Marsters, S., Sheridan, J., Pitti, R., Gurney, A., Skubatch, M., Baldwin, D., Huang, A., Yuan, J., Goddard, A., Godowski, P., and Ashkenazi, A. A novel receptor for Apo2L/TRAIL contains a truncated death domain. *Curr. Biol.* 7, 1003-1006 (1997).
44. Marsters, A., Sheridan, J., Pitti, R., Brush, J., Goddard, A., and Ashkenazi, A. Identification of a ligand for the death-domain-containing receptor Apo3. *Curr. Biol.* 8, 525-528 (1998).
45. Rieger, J., Naumann, U., Glaser, T., Ashkenazi, A., and Weller, M. Apo2 ligand: a novel weapon against malignant glioma? *FEBS Lett.* 427, 124-128 (1998).
46. Pender, S., Fell, J., Chamow, S., Ashkenazi, A., and MacDonald, T. A p55 TNF receptor immunoadhesin prevents T cell mediated intestinal injury by inhibiting matrix metalloproteinase production. *J. Immunol.* 160, 4098-4103 (1998).
47. Pitti, R., Marsters, S., Lawrence, D., Roy, Kischkel, F., M., Dowd, P., Huang, A., Donahue, C., Sherwood, S., Baldwin, D., Godowski, P., Wood, W., Gurney, A., Hillan, K., Cohen, R., Goddard, A., Botstein, D., and Ashkenazi, A. Genomic amplification of a decoy receptor for Fas ligand in lung and colon cancer. *Nature* 396, 699-703 (1998).
48. Mori, S., Marakami-Mori, K., Nakamura, S., Ashkenazi, A., and Bonavida, B. Sensitization of AIDS Kaposi's sarcoma cells to Apo-2 ligand-induced apoptosis by actinomycin D. *J. Immunol.* 162, 5616-5623 (1999).
49. Gurney, A. Marsters, S., Huang, A., Pitti, R., Mark, M., Baldwin, D., Gray, A., Dowd, P., Brush, J., Heldens, S., Schow, P., Goddard, A., Wood, W., Baker, K., Godowski, P., and Ashkenazi, A. Identification of a new member of the tumor necrosis factor family and its receptor, a human ortholog of mouse GITR. *Curr. Biol.* 9, 215-218 (1999).

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51. Chuntharapai, A., Gibbs, V., Lu, J., Ow, A., Marsters, S., Ashkenazi, A., De Vos, A., Kim, K.J. Determination of residues involved in ligand binding and signal transmission in the human IFN- $\alpha$  receptor 2. *J. Immunol.* 163, 766-773 (1999).
52. Johnsen, A.-C., Haux, J., Steinkjer, B., Nonstad, U., Egeberg, K., Sundan, A., Ashkenazi, A., and Espevik, T. Regulation of Apo2L/TRAIL expression in NK cells – involvement in NK cell-mediated cytotoxicity. *Cytokine* 11, 664-672 (1999).
53. Roth, W., Isenmann, S., Naumann, U., Kugler, S., Bahr, M., Dichgans, J., Ashkenazi, A., and Weller, M. Eradication of intracranial human malignant glioma xenografts by Apo2L/TRAIL. *Biochem. Biophys. Res. Commun.* 265, 479-483 (1999).
54. Hymowitz, S.G., Christinger, H.W., Fuh, G., Ultsch, M., O'Connell, M., Kelley, R.F., Ashkenazi, A. and de Vos, A.M. Triggering Cell Death: The Crystal Structure of Apo2L/TRAIL in a Complex with Death Receptor 5. *Molec. Cell* 4, 563-571 (1999).
55. Hymowitz, S.G., O'Connell, M.P., Utsch, M.H., Hurst, A., Totpal, K., Ashkenazi, A., de Vos, A.M., Kelley, R.F. A unique zinc-binding site revealed by a high-resolution X-ray structure of homotrimeric Apo2L/TRAIL. *Biochemistry* 39, 633-640 (2000).
56. Zhou, Q., Fukushima, P., DeGraff, W., Mitchell, J.B., Stetler-Stevenson, M., Ashkenazi, A., and Steeg, P.S. Radiation and the Apo2L/TRAIL apoptotic pathway preferentially inhibit the colonization of premalignant human breast cancer cells overexpressing cyclin D1. *Cancer Res.* 60, 2611-2615 (2000).
57. Kischkel, F.C., Lawrence, D. A., Chuntharapai, A., Schow, P., Kim, J., and Ashkenazi, A. Apo2L/TRAIL-dependent recruitment of endogenous FADD and Caspase-8 to death receptors 4 and 5. *Immunity* 12, 611-620 (2000).
58. Yan, M., Marsters, S.A., Grewal, I.S., Wang, H., \*Ashkenazi, A., and \*Dixit, V.M. Identification of a receptor for BlyS demonstrates a crucial role in humoral immunity. *Nature Immunol.* 1, 37-41 (2000).

59. Marsters, S.A., Yan, M., Pitti, R.M., Haas, P.E., Dixit, V.M., and Ashkenazi, A. Interaction of the TNF homologues BLyS and APRIL with the TNF receptor homologues BCMA and TACI. *Curr. Biol.* 10, 785-788 (2000).
60. Kischkel, F.C., and Ashkenazi, A. Combining enhanced metabolic labeling with immunoblotting to detect interactions of endogenous cellular proteins. *Biotechniques* 29, 506-512 (2000).
61. Lawrence, D., Shahrokh, Z., Marsters, S., Achilles, K., Shih, D., Mounho, B., Hillan, K., Totpal, K., DeForge, L., Schow, P., Hooley, J., Sherwood, S., Pai, R., Leung, S., Khan, L., Gliniak, B., Bussiere, J., Smith, C., Strom, S., Kelley, S., Fox, J., Thomas, D., and Ashkenazi, A. Differential hepatocyte toxicity of recombinant Apo2L/TRAIL versions. *Nature Med.* 7, 383-385 (2001).
62. Chuntharapai, A., Dodge, K., Grimmer, K., Schroeder, K., Marsters, S.A., Koeppen, H., Ashkenazi, A., and Kim, K.J. Isotype-dependent inhibition of tumor growth in vivo by monoclonal antibodies to death receptor 4. *J. Immunol.* 166, 4891-4898 (2001).
63. Pollack, I.F., Erff, M., and Ashkenazi, A. Direct stimulation of apoptotic signaling by soluble Apo2L/tumor necrosis factor-related apoptosis-inducing ligand leads to selective killing of glioma cells. *Clin. Cancer Res.* 7, 1362-1369 (2001).
64. Wang, H., Marsters, S.A., Baker, T., Chan, B., Lee, W.P., Fu, L., Tumas, D., Yan, M., Dixit, V.M., \*Ashkenazi, A., and \*Grewal, I.S. TACI-ligand interactions are required for T cell activation and collagen-induced arthritis in mice. *Nature Immunol.* 2, 632-637 (2001).
65. Kischkel, F.C., Lawrence, D. A., Tinel, A., Virmani, A., Schow, P., Gazdar, A., Blenis, J., Arnott, D., and Ashkenazi, A. Death receptor recruitment of endogenous caspase-10 and apoptosis initiation in the absence of caspase-8. *J. Biol. Chem.* 276, 46639-46646 (2001).
66. LeBlanc, H., Lawrence, D.A., Varfolomeev, E., Totpal, K., Morlan, J., Schow, P., Fong, S., Schwall, R., Sinicropi, D., and Ashkenazi, A. Tumor cell resistance to death receptor induced apoptosis through mutational inactivation of the proapoptotic Bcl-2 homolog Bax. *Nature Med.* 8, 274-281 (2002).
67. Miller, K., Meng, G., Liu, J., Hurst, A., Hsei, V., Wong, W-L., Ekert, R., Lawrence, D., Sherwood, S., DeForge, L., Gaudreault, G., Keller, G., Sliwkowski, M., Ashkenazi, A., and Presta, L. Design, Construction, and analyses of multivalent antibodies. *J. Immunol.* 170, 4854-4861 (2003).

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**Review articles:**

1. Ashkenazi, A., Peralta, E., Winslow, J., Ramachandran, J., and Capon, D., J. Functional role of muscarinic acetylcholine receptor subtype diversity. *Cold Spring Harbor Symposium on Quantitative Biology*. **LIII**, 263-272 (1988).
2. Ashkenazi, A., Peralta, E., Winslow, J., Ramachandran, J., and Capon, D. Functional diversity of muscarinic receptor subtypes in cellular signal transduction and growth. *Trends Pharmacol. Sci.* Dec Supplement, 12-21 (1989).
3. Chamow, S., Duliege, A., Ammann, A., Kahn, J., Allen, D., Eichberg, J., Byrn, R., Capon, D., Ward, R., and Ashkenazi, A. CD4 immunoadhesins in anti-HIV therapy: new developments. *Int. J. Cancer* Supplement 7, 69-72 (1992).
4. Ashkenazi, A., Capon, and D. Ward, R. Immunoadhesins. *Int. Rev. Immunol.* **10**, 217-225 (1993).
5. Ashkenazi, A., and Peralta, E. Muscarinic Receptors. In *Handbook of Receptors and Channels*. (S. Peroutka, ed.), CRC Press, Boca Raton, Vol. I, p. 1-27, (1994).
6. Krantz, S. B., Means, R. T., Jr., Lina, J., Marsters, S. A., and Ashkenazi, A. Inhibition of erythroid colony formation in vitro by gamma interferon. In *Molecular Biology of Hematopoiesis* (N. Abraham, R. Shadduck, A. Levine F. Takaku, eds.) Intercept Ltd. Paris, Vol. 3, p. 135-147 (1994).
7. Ashkenazi, A. Cytokine neutralization as a potential therapeutic approach for SIRS and shock. *J. Biotechnology in Healthcare* **1**, 197-206 (1994).
8. Ashkenazi, A., and Chamow, S. M. Immunoadhesins: an alternative to human monoclonal antibodies. *Immunomethods: A companion to Methods in Enzymology* **8**, 104-115 (1995).
9. Chamow, S., and Ashkenazi, A. Immunoadhesins: Principles and Applications. *Trends Biotech.* **14**, 52-60 (1996).
10. Ashkenazi, A., and Chamow, S. M. Immunoadhesins as research tools and therapeutic agents. *Curr. Opin. Immunol.* **9**, 195-200 (1997).
11. Ashkenazi, A., and Dixit, V. Death receptors: signaling and modulation. *Science* **281**, 1305-1308 (1998).
12. Ashkenazi, A., and Dixit, V. Apoptosis control by death and decoy receptors. *Curr. Opin. Cell. Biol.* **11**, 255-260 (1999).

13. Ashkenazi, A. Chapters on Apo2L/TRAIL; DR4, DR5, DcR1, DcR2; and DcR3. Online Cytokine Handbook ([www.apnet.com/cytokinereference/](http://www.apnet.com/cytokinereference/)).
14. Ashkenazi, A. Targeting death and decoy receptors of the tumor necrosis factor superfamily. *Nature Rev. Cancer* 2, 420-430 (2002).
15. LeBlanc, H. and Ashkenazi, A. Apoptosis signaling by Apo2L/TRAIL. *Cell Death and Differentiation* 10, 66-75 (2003).
16. Almasan, A. and Ashkenazi, A. Apo2L/TRAIL: apoptosis signaling, biology, and potential for cancer therapy. *Cytokine and Growth Factor Reviews* 14, 337-348 (2003).

**Book:**

Antibody Fusion Proteins (Chamow, S., and Ashkenazi, A., eds., John Wiley and Sons Inc.) (1999).

**Talks:**

1. Resistance of primary HIV isolates to CD4 is independent of CD4-gp120 binding affinity. UCSD Symposium, HIV Disease: Pathogenesis and Therapy. Greenelefe, FL, March 1991.
2. Use of immuno-hybrids to extend the half-life of receptors. IBC conference on Biopharmaceutical Half-life Extension. New Orleans, LA, June 1992.
3. Results with TNF receptor Immunoconjugates for the Treatment of Sepsis. IBC conference on Endotoxemia and Sepsis. Philadelphia, PA, June 1992.
4. Immunoconjugates: an alternative to human antibodies. IBC conference on Antibody Engineering. San Diego, CA, December 1993.
5. Tumor necrosis factor receptor: a potential therapeutic for human septic shock. American Society for Microbiology Meeting, Atlanta, GA, May 1993.
6. Protective efficacy of TNF receptor immunoconjugate vs anti-TNF monoclonal antibody in a rat model for endotoxic shock. 5th International Congress on TNF. Asilomar, CA, May 1994.
7. Interferon- $\gamma$  signals via a multisubunit receptor complex that contains two types of polypeptide chain. American Association of Immunologists Conference. San Francisco, CA, July 1995.
8. Immunoconjugates: Principles and Applications. Gordon Research Conference on Drug Delivery in Biology and Medicine. Ventura, CA, February 1996.

9. Apo-2 Ligand, a new member of the TNF family that induces apoptosis in tumor cells. Cambridge Symposium on TNF and Related Cytokines in Treatment of Cancer. Hilton-Head, NC, March 1996.
10. Induction of apoptosis by Apo2 Ligand. American Society for Biochemistry and Molecular Biology, Symposium on Growth Factors and Cytokine Receptors. New Orleans, LA, June, 1996.
11. Apo2 ligand, an extracellular trigger of apoptosis. 2nd Clontech Symposium, Palo Alto, CA, October 1996.
12. Regulation of apoptosis by members of the TNF ligand and receptor families. Stanford University School of Medicine, Palo Alto, CA, December 1996.
13. Apo-3: a novel receptor that regulates cell death and inflammation. 4th International Congress on Immune Consequences of Trauma, Shock, and Sepsis. Munich, Germany, March 1997.
14. New members of the TNF ligand and receptor families that regulate apoptosis, inflammation, and immunity. UCLA School of Medicine, LA, CA, March 1997.
15. Immunoadhesins: an alternative to monoclonal antibodies. 5th World Conference on Bispecific Antibodies. Volendam, Holland, June 1997.
16. Control of Apo2L signaling. Cold Spring Harbor Laboratory Symposium on Programmed Cell Death. Cold Spring Harbor, New York. September, 1997.
17. Chairman and speaker, Apoptosis Signaling session. IBC's 4th Annual Conference on Apoptosis. San Diego, CA., October 1997.
18. Control of Apo2L signaling by death and decoy receptors. American Association for the Advancement of Science. Philadelphia, PA, February 1998.
19. Apo2 ligand and its receptors. American Society of Immunologists. San Francisco, CA, April 1998.
20. Death receptors and ligands. 7th International TNF Congress. Cape Cod, MA, May 1998.
21. Apo2L as a potential therapeutic for cancer. UCLA School of Medicine. LA, CA, June 1998.
22. Apo2L as a potential therapeutic for cancer. Gordon Research Conference on Cancer Chemotherapy. New London, NH, July 1998.
23. Control of apoptosis by Apo2L. Endocrine Society Conference, Stevenson, WA, August 1998.
24. Control of apoptosis by Apo2L. International Cytokine Society Conference, Jerusalem, Israel, October 1998.

25. Apoptosis control by death and decoy receptors. American Association for Cancer Research Conference, Whistler, BC, Canada, March 1999.
26. Apoptosis control by death and decoy receptors. American Society for Biochemistry and Molecular Biology Conference, San Francisco, CA, May 1999.
27. Apoptosis control by death and decoy receptors. Gordon Research Conference on Apoptosis, New London, NH, June 1999.
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# TECHNICAL UPDATE

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## HER-2/neu Breast Cancer Predictive Testing

*Julie Sanford Hanna, Ph.D. and Dan Mornin, M.D.*

EACH YEAR, OVER 182,000 WOMEN in the United States are diagnosed with breast cancer, and approximately 45,000 die of the disease.<sup>1</sup> Incidence appears to be increasing in the United States at a rate of roughly 2% per year. The reasons for the increase are unclear, but non-genetic risk factors appear to play a large role.<sup>2</sup>

Five-year survival rates range from approximately 65%-85%, depending on demographic group, with a significant percentage of women experiencing recurrence of their cancer within 10 years of diagnosis. One of the factors most predictive for recurrence once a diagnosis of breast cancer has been made is the number of axillary lymph nodes to which tumor has metastasized. Most node-positive women are given adjuvant therapy, which increases their survival. However, 20%-30% of patients without axillary node involvement also develop recurrent disease, and the difficulty lies in how to identify this high-risk subset of patients. These patients could benefit from increased surveillance, early intervention, and treatment.

Prognostic markers currently used in breast cancer recurrence prediction include tumor size, histological grade, steroid hormone receptor status, DNA ploidy, proliferative index, and cathepsin D status. Expression of growth factor receptors and over-expression of the HER-2/neu oncogene have also been identified as having value regarding treatment regimen and prognosis.

HER-2/neu (also known as c-erbB2) is an oncogene that encodes a transmembrane glycoprotein that is homologous to, but distinct from, the epidermal growth factor receptor. Numerous studies have indicated that high levels of expression of this protein are associated with rapid tumor growth, certain forms of therapy resistance, and shorter disease-free survival. The gene has been shown to be amplified and/or overexpressed in 10%-30% of invasive breast cancers and in 40%-60% of intraductal breast carcinoma.<sup>3</sup>

There are two distinct FDA-approved methods by which HER-2/neu status can be evaluated: immunohistochemistry (IHC, HercepTest™) and FISH (fluorescent in situ hybridization, PathVysion™ Kit). Both methods can be performed on archived and current specimens. The first method allows visual assessment of the amount of HER-2/neu protein present on the cell membrane. The latter method allows direct quantification of the level of gene amplification present in the tumor, enabling differentiation between low- versus high-amplification. At least one study has demonstrated a difference in

recurrence risk in women younger than 40 years of age for low- versus high-amplified tumors (54.5% compared to 85.7%); this is compared to a recurrence rate of 16.7% for patients with no HER-2/neu gene amplification.<sup>4</sup> HER-2/neu status may be particularly important to establish in women with small ( $\leq 1$  cm) tumor size.

The choice of methodology for determination of HER-2/neu status depends in part on the clinical setting. FDA approval for the Vysis FISH test was granted based on clinical trials involving 1549 node-positive patients. Patients received one of three different treatments consisting of different doses of cyclophosphamide, Adriamycin, and 5-fluorouracil (CAF). The study showed that patients with amplified HER-2/neu benefited from treatment with higher doses of adriamycin-based therapy, while those with normal HER-2/neu levels did not. The study therefore identified a sub-set of women, who because they did not benefit from more aggressive treatment, did not need to be exposed to the associated side effects. In addition, other evidence indicates that HER-2/neu amplification in node-negative patients can be used as an independent prognostic indicator for early recurrence, recurrent disease at any time and disease-related death.<sup>5</sup> Demonstration of HER-2/neu gene amplification by FISH has also been shown to be of value in predicting response to chemotherapy in stage-2 breast cancer patients.

Selection of patients for Herceptin® (Trastuzumab) monoclonal antibody therapy, however, is based upon demonstration of HER-2/neu protein overexpression using HercepTest™. Studies using Herceptin® in patients with metastatic breast cancer show an increase in time to disease progression, increased response rate to chemotherapeutic agents and a small increase in overall survival rate. The FISH assays have not yet been approved for this purpose, and studies looking at response to Herceptin® in patients with or without gene amplification status determined by FISH are in progress.

In general, FISH and IHC results correlate well. However, subsets of tumors are found which show discordant results; i.e., protein overexpression without gene amplification or lack of protein overexpression with gene amplification. The clinical significance of such results is unclear. Based on the above considerations, HER-2/neu testing at SHMC/PAML will utilize immunohistochemistry (HercepTest®) as a screen, followed by FISH in IHC-negative cases. Alternatively, either method may be ordered individually depending on the clinical setting or clinician preference.

## CPT code information

### HER-2/neu via IHC

88342 (including interpretive report)

### HER-2/neu via FISH

88271x2 Molecular cytogenetics, DNA probe, each

88274 Molecular cytogenetics, interphase in situ hybridization, analyze 25-99 cells

88291 Cytogenetics and molecular cytogenetics, interpretation and report

## Procedural Information

Immunohistochemistry is performed using the FDA-approved DAKO antibody kit, Herceptest®. The DAKO kit contains reagents required to complete a two-step immunohistochemical staining procedure for routinely processed, paraffin-embedded specimens. Following incubation with the primary rabbit antibody to human HER-2/neu protein, the kit employs a ready-to-use dextran-based visualization reagent. This reagent consists of both secondary goat anti-rabbit antibody molecules with horseradish peroxidase molecules linked to a common dextran polymer backbone, thus eliminating the need for sequential application of link antibody and peroxidase conjugated antibody. Enzymatic conversion of the subsequently added chromogen results in formation of visible reaction product at the antigen site. The specimen is then counterstained; a pathologist using light-microscopy interprets results.

FISH analysis at SHMC/PAML is performed using the FDA-approved PathVysion™ HER-2/neu DNA probe kit, produced by Vysis, Inc. Formalin fixed, paraffin-embedded breast tissue is processed using routine histological methods, and then slides are treated to allow hybridization of DNA probes to the nuclei present in the tissue section. The Pathvysion™ kit contains two direct-labeled DNA probes, one specific for the alphoid repetitive DNA (CEP 17, spectrum orange) present at the chromosome 17 centromere and the second for the HER-2/neu oncogene located at 17q11.2-12 (spectrum green). Enumeration of the probes allows a ratio of the number of copies of chromosome 17 to the number of copies of HER-2/neu to be obtained; this enables quantification of low versus high amplification levels, and allows an estimate of the percentage of cells with HER-2/neu gene amplification. The clinically relevant distinction is whether the gene amplification is due to increased gene copy number on the two chromosome 17 homologues normally present or an increase in the number of chromosome 17s in the cells. In the majority of cases, ratio equivalents less than 2.0 are indicative of a normal/negative result, ratios of 2.1 and over indicate that amplification is present and to what degree. Interpretation of this data will be performed and reported from the Vysis-certified Cytogenetics laboratory at SHMC.

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